

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

### Administration for Children and Families

#### Fiscal Year (FY) 1995 National Center on Child Abuse and Neglect and the Children's Bureau Discretionary Funds Program; Availability of Funds and Request for Applications

**AGENCY:** Administration on Children, Youth and Families (ACYF), Administration for Children and Families (ACF), HHS.

**ACTION:** Announcement of the availability of funds and request for applications to conduct child abuse research or training projects as authorized by the Child Abuse Prevention and Treatment Act, as amended and child welfare research, demonstration or training projects as authorized by Titles IV-B and E, of the Social Security Act, as amended.

**SUMMARY:** The National Center on Child Abuse and Neglect (NCCAN), and the Children's Bureau (CB), within the Administration on Children, Youth and Families (ACYF), Administration for Children and Families (ACF) announce the availability for Fiscal Year 1995 funding.

Funds from NCCAN are for research on the causes, prevention, identification, treatment and cultural distinctions of child abuse and neglect; for research on appropriate, effective and culturally sensitive investigative, administrative and judicial procedures with respect to cases of child abuse; and for demonstration or service programs and projects designed to prevent, identify, and treat child abuse and neglect.

Child Welfare Research and Demonstration funds provide financial support to State and local governments and other nonprofit institutions, agencies, and organizations engaged in research or demonstrations in the field of child welfare to study problems related to child welfare, foster care and related issues. Child Welfare Training provides discretionary grants to accredited public or other nonprofit institutions of higher learning to develop and improve educational and training programs and to assist child welfare agencies to upgrade skills and qualifications of staff.

This announcement contains forms and instructions for submitting an application.

**DATES:** The closing date for submissions of applications is July 10, 1995. Applications must be either received by

or hand-delivered no later than the deadline date.

**ADDRESSES:** Mail applications to: FY 1995 NCCAN/CB Discretionary Funds Program, Department of Health and Human Services, ACF/Division of Discretionary Grants, 6th floor, 370 L'Enfant Promenade SW., Washington, DC 20447, Attn: NCCAN/CB-95-1, Alece Morgan, Acting.

Hand deliver applications during the normal working hours of 8 a.m. to 4:30 p.m., Monday through Friday, on or prior to the established closing date to: Administration for Children and Families, Division of Discretionary Grants, 6th Floor, ACF Guard Station, 901 D Street SW., Washington, DC 20047, Attn: NCCAN/CB-95-1, Alece Morgan, Acting.

**FOR FURTHER INFORMATION CONTACT:** The ACYF Operations Center, Technical Assistance Team at 1-800-351-2293, is available to answer questions regarding application requirements and to refer you to the appropriate contact person in ACYF for programmatic questions.

**SUPPLEMENTARY INFORMATION:** If you are going to submit an application, send a post card with the following information: The name, address, and telephone number of the contact person; the name of the organization; and the priority area(s) in which you may submit an application, within two (2) weeks of the receipt of this announcement to: Administration on Children, Youth and Families, Operations Center, 3030 Clarendon Blvd., Suite 240, Arlington, VA 22201.

This information will be used to determine the number of expert reviewers needed and to update the mailing list of persons to whom program announcements are sent.

This program announcement consists of three parts. Part I provides information on NCCAN and the Children's Bureau; the statutory funding authorities applicable to this announcement; and general information on the application procedures.

Part II describes the review process, additional requirements for NCCAN and Children's Bureau grant applicants, the criteria for the review and evaluation of applications, and the programmatic priorities under which applications are being solicited.

Part III provides information and instructions for the development and submission of applications.

The forms to be used for submitting an application follow Part III. Please copy as single-sided forms and use in submitting an application under this announcement. No additional

application materials are available or needed to submit an application.

Applicants should note that grants to be awarded under this program announcement are subject to the availability of funds.

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#### Part I—Introduction

##### A. National Center on Child Abuse and Neglect

In 1974, the Child Abuse Prevention and Treatment Act (the Act) established the NCCAN in the Department of Health and Human Services. It is located organizationally within the Administration on Children, Youth and

Families (ACYF) in the Administration for Children and Families (ACF).

The National Center on Child Abuse and Neglect conducts activities designed to assist and enhance national, State and community efforts to prevent, identify and treat child abuse and neglect. These activities include: Conducting research and demonstrations; supporting service improvement projects; gathering, analyzing and disseminating information through a national clearinghouse; and providing grants to eligible States for developing, strengthening and carrying out child abuse and neglect prevention and treatment programs and programs relating to the investigation and prosecution of child abuse cases. In addition, the legislatively mandated Advisory Board on Child Abuse and Neglect and the Inter-Agency Task Force on Child Abuse and Neglect produce periodic reports regarding child abuse and neglect activities.

The NCCAN portion of this announcement identifies two research priorities and one training priority for FY 1995. NCCAN solicits applications under the authority of the Child Abuse Prevention and Treatment Act (42 U.S.C. 5101 et seq.) as amended. The Act was most recently reauthorized through September 1995 and was further amended through the Child Abuse, Domestic Violence, Adoption, and Family Services Act of 1992 (Pub. L. 102-295, 5/28/92), the Juvenile Justice and Delinquency Act Amendments of 1992, and Title IV of the Human Services Amendments of 1994.

Due to the limited amount of discretionary funds available for this fiscal year, NCCAN is publishing its final priority areas for FY 1995 only at this time. Pending reauthorization of the legislation at the end of this fiscal year, NCCAN will consider publication of other research and demonstration topics for FY 1996 in a subsequent announcement. The priority areas were developed in accordance with needs identified in a study done by the National Research Council in 1993 (published by the National Academy of Sciences, supported by NCCAN grant 90-CA-1483). The two research priority areas chosen were selected after a review and analysis of comments received in response to a notice by NCCAN soliciting those comments. That notice was published on October 25, 1994 in the **Federal Register** (59 FR 53652). A 60-day period was provided to allow the public to comment on the proposed areas. NCCAN received 81 written responses from a variety of

sources, including the following: The U.S. Department of Health and Human Services Public Health Service/Indian Health Service; State and County Departments of Social Welfare, Health and Human Services; a State Child Death Review Board Administrator and a County Medical Examiner; a State Department of Corrections; a State Children's Trust Fund program; community-based prevention and treatment programs; hospitals and children's medical centers; health associations; community mental health centers and an agency specializing in services to children with disabilities; universities; the National Court Appointed Special Advocates (CASA) Association, American Bar Association Center on Children and the Law, and local non-profit organizations; an Indian Business Council; corporations; a doctoral candidate and other individuals.

The largest number of written responses came from universities, followed by State and County Departments of Social Welfare, Health and Human Services. The comments were generally supportive of the notice of proposed priorities including projects identified for continued funding, the four research and demonstration priorities, and the working groups and symposia topics. Specific comments were also submitted on the National Data Archive on Child Abuse and Neglect and the Consortium for Longitudinal Studies of Child Maltreatment, each of the four research and demonstration priority areas, work groups, symposia topics, and recommendations on additional priority areas.

The largest group of written comments were in response to the two research priority areas on child abuse and neglect with a focus on the impact of community-based family support and family preservation programs on child abuse and neglect (37 responses) and model development for centers for excellence in research (25 responses). A number of written comments were also received in response to the two demonstration priorities on models on neglect (17 responses) and Guardian ad Litem model demonstration (11 responses). To the extent feasible, NCCAN is addressing the public comments in preparing both Fiscal Year 1995 and 1996 priority areas and work groups and symposia plans. Comments intended to further clarify and focus the priorities will be incorporated into the revised descriptions.

In the case of the priority on model development for centers for excellence in research, a number of respondents

questioned this approach and made other suggestions such as partnerships with other agencies. NCCAN intends to pursue these suggestions prior to the next announcement. Specific comments were also received in support of the graduate research and medical research fellowships which were included under this priority area.

Other comments indicated the need to acknowledge the role that parental substance abuse may play in cases of child abuse and neglect and to support research and demonstration priorities on Shaken Baby Syndrome. NCCAN will, when appropriate, reiterate the need to focus on parental substance abuse as an issue and plans to provide several substance abuse-focused products for use by the field that will result from the experiences and findings of projects already funded through the Emergency Child Abuse and Neglect Prevention Services program. NCCAN is considering plans to include Shaken Baby Syndrome in the future prevention symposium.

A few comments were also received in support of the Hawaii Healthy Start model and the Healthy Families of America initiative for the prevention of child abuse and neglect. NCCAN is funding an evaluation of the Hawaii Healthy Start program and upon completion of the study will distribute the findings to the field.

Several responses suggested reinstating the previously funded priority area on field initiated research on child abuse and neglect. NCCAN recognizes the importance of innovative research from the field and will take such comments into consideration when developing subsequent announcements.

Information on prior research and demonstration projects supported by NCCAN as well as on other studies on child maltreatment are available through the Clearinghouse on Child Abuse and Neglect Information, P.O. Box 1182, Washington, DC 20013, (1-800-FYI-3366). The Clearinghouse is also a member of the Consortium of Clearinghouses and can provide information on the other Clearinghouses and Resource Centers referred to in this announcement.

#### *B. Children's Bureau, Child Welfare*

The Children's Bureau plans, manages, coordinates and supports child welfare services programs. It administers the Foster Care and Adoption Assistance Program, the Child Welfare Services Program, the Independent Living Program, the Child Welfare Research, Demonstration and Training Program, the Adoption Opportunities Program, the Temporary

Child Care and Crisis Nurseries Program, the Abandoned Infants Assistance Program and the recently enacted Family Preservation and Family Support Program.

The Children's Bureau's programs are designed to promote the welfare of all children, including those disabled, homeless, dependent, abused or neglected children and their families. The programs aid in preventing and remedying the neglect, abuse and exploitation of children. The programs also encourage the strengthening of the family unit to help prevent the unnecessary separation of children from their families, and reunify families, where possible, when separation has occurred.

## **Part II—The Review Process and Priority Areas**

This Part describes the screening and review processes, the criteria for the evaluation of applications, and the programmatic priorities under which applications are being solicited.

### *A. Eligible Applicants*

Before applications are reviewed, each application will be screened to determine whether the applicant organization is eligible as specified under the selected priority area. Applications from organizations which do not meet the eligibility requirements for the priority area will not be considered or reviewed in the competition, and the applicant will be so informed. In addition, inadequate preparation or omission of essential components of the application or failure to comply with format specifications as described in Part III C will result in the application being withdrawn from further consideration.

Applications will be screened for categorical appropriateness. If applications are found to be inappropriate for the priority area in which they were submitted, applicants will be contacted for verbal approval of redirection to a more appropriate priority area. Redirection does not affect decision-making in the competitive process which follows the initial screening.

Each priority area description contains information about the types of agencies and organizations which are eligible to apply under that priority area. Since eligibility varies among priority areas depending on statutory provisions, it is critical that applicants carefully consider the "Eligible Applicants" section under each specific priority area.

Only agencies and organizations, not individuals, are eligible to apply under

any of the priority areas. On all applications developed jointly by more than one agency or organization, the application must identify only one organization as the lead organization and official applicant. The lead organization must meet the criteria for an "Eligible Applicant". The other participating agencies and organizations can be included as co-participants, subgrantees, or subcontractors.

For-profit organizations are eligible to participate as subgrantees or subcontractors with eligible non-profit organizations under all of the priority areas.

Any non-profit agency which has not previously received Federal support must submit proof of non-profit status with its grant application. The non-profit agency can accomplish this by: making reference to its listing in the most recent Internal Revenue Service list of tax-exempt organizations or by submitting a copy of its letter from the IRS under IRS Code Section 501(c)(3). The ACYF cannot fund a non-profit applicant without acceptable proof of its non-profit status.

### *B. Review Process and Funding Decisions*

Applications within the page limitations as set forth in Part III section C, No. 4, will be reviewed and scored competitively against the published evaluation criteria (see Part II C of this announcement) by experts in the field, generally persons from outside the Federal government. The results of this review are the primary consideration in making funding decisions.

The NCCAN, Children's Bureau and ACYF reserve the option of discussing applications with, or referring them to, other Federal or non-Federal funding sources when this is determined to be in the best interest of the Federal government or the applicant. The NCCAN, Children's Bureau or ACYF also may solicit comments from ACF Regional Office staff, other Federal agencies, interested foundations, national organizations, specialists, experts, States and the general public. These comments, along with those of the expert reviewers, will be considered by NCCAN, Children's Bureau and ACYF in making funding decisions.

To the greatest extent possible, efforts will be made to ensure that funding decisions reflect an equitable distribution of assistance among the States and geographical regions of the country, rural and urban areas, and ethnic populations. In making these decisions, NCCAN, Children's Bureau and ACYF may also take into account

the need to avoid unnecessary duplication of effort.

### *C. Evaluation Criteria*

There are two sets of evaluation criteria: Research applications will be evaluated against one set; demonstration and training applications will be evaluated against another set. A panel of at least three reviewers will evaluate each application to determine the strengths and weaknesses of each proposal in terms of the appropriate evaluation criteria listed below. They will also provide written comments and assign numerical scores for each application. The point value following each criterion heading indicates the maximum numerical score that each section may be given in the review process. These section scores will be summed for each application to yield a total evaluation score.

#### **1. Criteria for Research Projects**

The following research priority areas will be evaluated against the following evaluation criteria:

- 1.01R National Data Archive for Child Abuse and Neglect
- 1.02R Consortium for Longitudinal Studies of Child Maltreatment Projects
- 2.01R Assessing the Quality of Out-of-Home Care in the Child Welfare System
- 2.02R How Decisions to Change the Case Plan Goal Are Initiated

Competing applications will be evaluated according to the following criteria:

#### *(a) Objectives (maximum of 5 points)*

The extent to which the application concisely states the specific objectives of the project and describes what the research project is intended to accomplish. Also, how well the research issue(s) are addressed, the specific theory driven question(s) are answered (if applicable), and the hypothesis(es) to be tested (if applicable) are formulated will be evaluated.

#### *(b) Background and Significance (maximum of 19 points)*

The extent to which the application effectively discusses the current state of knowledge relative to the issue or area that is addressed, and provides a review of the literature, including previous work of the author(s) of the proposal. (A list of references must be included with the application.) The results of any pilot tests are described. The application indicates how the proposed research will build on the current knowledge base and contribute to policy, practice and future research.

*(c) Approach (maximum of 51 points)*

The extent to which the application delineates how the terms used in the study will be defined and used, identifies variables and data sources, and discusses the selection, adaptation or development of instruments to be used, including information on reliability and validity. The extent to which application outlines the design features and the procedures for data collection, processing, analysis and interpretation. As applicable, it will include a sampling plan for the selection of site(s) and subjects. The sample sizes must be sufficiently large for both statistical power and significance.

The extent to which the application describes the characteristics of the target population, and details recruitment procedures for the study subjects. It describes and addresses the rationale for the gender and ethnic composition and subject recruitment procedures of the proposed study sample. For intervention studies, the theory base, ecological setting, and level of intervention are described. The application discusses any potential difficulties in the proposed procedures, provides realistic estimates of attrition and discusses statistically appropriate ways of adjusting the sample.

The extent to which the application reflects sensitivity to ethical issues that may arise, such as potential deception, delayed or diminished treatment for control groups placed on waiting lists, provision for treatment and removal from the project if a potentially dangerous behavior is exhibited, plans for stopping an intervention that proves harmful or unsuccessful, or lag in debriefing the subject. The extent to which the applicant addresses procedures for the protection of human subjects, confidentiality of data and consent procedures. A Protection of Human Subjects Assurance must be included with the application for research on child abuse and neglect, in addition to the other required assurances.

The extent to which the application indicates that the data will be collected utilizing approaches, measures, and instruments that are culturally sensitive and/or presents thoughtful explanations for using those whose cultural sensitivity may not yet have been empirically determined.

The extent to which the application indicates that the data will be analyzed utilizing approaches that are appropriate to the scientific objectives of the study and how the proposed analyses reflect appropriate

examinations of gender and ethnic issues.

The extent to which the application includes plans to prepare data sets according to sound data processing and documentation practices to ensure the potential of these data sets for subsequent use by other researchers. The application for NCCAN funds provides for these data sets to be made available at the conclusion of the project to the National Data Archive on Child Abuse and Neglect. Child welfare research participation in the Data Archive is optional. The extent to which the application indicates that the final report will be prepared in the suggested format that ensures its ease for dissemination and utilization and proposes strategies for dissemination of findings in a manner that will be of use to researchers and practitioners in the field.

The extent to which the application outlines a sound and workable plan of action and details how the proposed work will be accomplished. The activities to be carried out are listed in chronological order, showing a reasonable schedule of accomplishments and target dates. The application includes an adequate staffing plan that lists key staff and consultants along with their responsibilities on the project, and that allocates a sufficient amount of time for each person to these activities. The application delineates how the research team will be assembled and the use of any advisory panels. It also lists each organization, agency, or other key groups that will work on the project, along with a description of their activities and training plans. The application indicates the ability to gain access to necessary information, data and clients. A sound administrative framework for maintaining quality control over the implementation and operation of the study is detailed. The author(s) of the application and his/her role in the proposed project is/are identified. The proposed project costs are reasonable, and the funds are appropriately allocated across component areas and are sufficient to accomplish the objectives.

*(d) Staff Background and Organization's Experience (maximum of 25 points)*

The extent to which the application describes the background, experience, training and qualifications of the key staff and consultants, including work on related research and similar projects. The extent to which it describes the personnel resources available for sampling, experimental design, statistical analysis and field work. Key

personnel have a working knowledge of the proposed research and are geographically accessible. (The curriculum vitae for each key person must be included with the application.) The adequacy of the available facilities and organizational experience related to the tasks of the proposed project are detailed. (A two page organizational capability statement must be included with the application.) Any collaborative efforts with other organizations, including the nature of their contribution to the project, are described. (Letters of commitment for key staff and for collaborative efforts, where appropriate, must be included with the application.)

The extent to which the application demonstrates the ability of the staff and organization to effectively and efficiently administer a project of the size, complexity and scope proposed. It further reflects the capacity to coordinate activities with other agencies for the successful accomplishment of project objectives. The application describes the relationship between this project and other work planned, anticipated or underway by the applicant with Federal assistance.

**2. Criteria for Demonstration and Training Projects**

The following demonstration and training priority areas will be evaluated using the evaluation criteria below:

- 1.03T Training and Technical Assistance for Community-Based Family Resource Programs
- 2.03D Involving Parents in Service Design
- 2.04T Foster Care Review Systems
- 2.05T Professional Education for Public Child Welfare Practitioners
- 2.06T The Child Welfare Fellows Program: Tenured Faculty Development
- 2.07T Innovative Training for Exemplary Practice

Competing applications will be evaluated according to the following criteria:

*(a) Objectives and Need for Assistance (maximum of 20 points)*

The extent to which the application pinpoints any relevant physical, economic, social, financial, institutional or other problems requiring a solution; demonstrates the need for assistance; states the principal and subordinate objectives of the project; provides supporting documentation or other testimonies from concerned interests other than the applicant; and includes and/or footnotes relevant data based on the results of planning studies. The

application must identify the precise location of the project and area to be served by the proposed project. Maps and other graphic aids may be attached.

*(b) Results or Benefits Expected (maximum of 20 points)*

The extent to which the application identifies the results and benefits to be derived, the extent to which they are consistent with the objectives of the proposal, and the extent to which the application indicates the anticipated contributions to policy, practice, theory and/or research. The extent to which the proposed project costs are reasonable in view of the expected results.

*(c) Approach (maximum of 35 points)*

The extent to which the application outlines a sound and workable plan of action pertaining to the scope of the project, and details how the proposed work will be accomplished; cites factors which might accelerate or decelerate the work, giving acceptable reasons for taking this approach as opposed to others; describes and supports any unusual features of the project, such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvements; and provides for projections of the accomplishments to be achieved. It lists the activities to be carried out in chronological order, showing a reasonable schedule of accomplishments and target dates.

The extent to which, when applicable, the application identifies the kinds of data to be collected and maintained, and discusses the criteria to be used to evaluate the results and successes of the project. The extent to which the application describes the evaluation methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified are being achieved. The application also lists each organization, agency, consultant, or other key individuals or groups who will work on the project, along with a description of the activities and nature of their effort or contribution.

*(d) Staff Background and Organization's Experience (maximum of 25 points)*

The extent to which the application identifies the background of the project director/principal investigator and key project staff (including name, address, training, educational background and other qualifying experience) and the experience of the organization to demonstrate the applicant's ability to effectively and efficiently administer this project. The application describes the relationship between this project

and other work planned, anticipated or underway by the applicant with Federal assistance.

*D. Available Funds*

Under this announcement, approximately \$1.4 million is available for new NCCAN grants for FY 1995. The size of the actual awards will vary. For the Children's Bureau, \$3 million is available for FY 1995. Each priority area description includes information on the maximum Federal share of the project costs and the anticipated number of projects to be funded.

The term "budget period" refers to the interval of time (usually 12 months) into which a multi-year period of assistance (project period) is divided for budgetary and funding purposes. The term "project period" refers to the total time a project is approved for support, including any extensions.

Where appropriate, applicants may propose project periods which are shorter than the maximum periods specified in the various priority areas. Non-Federal share contributions may exceed the minimum amounts specified in the various priority areas when the applicant is able to do so.

For multi-year projects, continued Federal funding beyond the first budget period is dependent upon proof of satisfactory performance and the availability of funds from future appropriations.

*E. Structure of Priority Area Descriptions*

Each priority area description is composed of the following sections:

- *Eligible Applicants:* This section specifies the type of organization which is eligible to apply under the particular priority area. Specific restrictions are also noted, where applicable.

- *Purpose:* This section presents the basic focus and/or broad goal(s) of the priority area.

- *Background Information:* This section briefly discusses the legislative background as well as the current state-of-the-art and/or current state-of-practice that supports the need for the particular priority area activity. Relevant information on projects previously funded by ACYF, NCCAN, Children's Bureau and/or others, and State models are noted, where applicable. Some priority areas specify individuals to contact for more information.

- *Requirements for Project Design:* This section presents the basic set of issues that must be addressed in the application. Typically, they relate to project design, evaluation, and community involvement. This section

also describes specific information on the proposed project. Project products, continuation of the project effort after the Federal support ceases, and dissemination/utilization activities, if appropriate, should also be addressed in this section. Applicants should note that non-responsiveness to the requirements will result in a low evaluation score by the panel of expert panel reviewers. Applicants should be certain they clearly identify the specific priority area under which they wish to have their applications considered, and tailor their applications accordingly.

- *Project Duration:* This section specifies the maximum allowable length of time for the project period; it refers to the amount of time for which Federal funding is available.

- *Federal Share of Project Costs:* This section specifies the maximum amount of Federal support for the project.

- *Matching Requirement:* This section specifies the minimum non-Federal contribution, where applicable, either through cash or in-kind match, that is required in relation to the maximum Federal funds requested for the project.

- *Anticipated Number of Projects To Be Funded:* This section specifies the number of projects that ACYF anticipates it will fund in the priority area.

- *CFDA Number:* Catalog of Federal Domestic Assistance Number is the number required on the SF 424, (item 10).

*F. Research, Demonstration and Training Priorities*

*F.1. Child Abuse and Neglect Research and Training Priorities*

*1.01R National Data Archive for Child Abuse and Neglect*

*Eligible Applicants:* Public or private nonprofit agencies, organizations, and institutions of higher learning.

*Purpose:* To support a national data archive on child abuse and neglect to continue the processing and housing of high quality data sets and related activities that facilitate the use of archived data.

*Background Information:* In this priority area, ACF seeks to ensure funding for one of the components of a research infrastructure identified as critical in the report of the Panel on Research on Child Abuse and Neglect of the National Research Council for the support of research on the prevention, identification and treatment of child abuse and neglect. Since September 30, 1988, NCCAN has provided funding for the National Data Archive on Child Abuse and Neglect. The Archive is located at Cornell University, Family

Life Development Center, G20 MVR Hall, Ithaca, New York 14853-4401 (telephone 607-255-7794). This is a centralized facility for the acquisition, preservation, and dissemination of machine-readable data sets relevant to the study of child maltreatment. The Archive currently holds 19 data sets and has produced a document that has been widely disseminated to the field on "The Preparation of Data Sets for Analysis and Dissemination: Technical Guidelines for Machine-Readable Data." Both information on the data sets and the manual can be obtained from the Archive.

It is expected that the successful applicant will continue and build on these activities. While a major function is to process, house, and preserve quality data sets from studies on child abuse and neglect, an archive also plays a critical role in setting standards and establishing good practices for documentation of data sets. Establishing such procedures enables data to be more readily available and easily shared with other researchers and provides the additional capacity for further and secondary analysis.

All investigators regardless of their funding sources are encouraged to house data sets with the National Data Archive. As of FY 1994, all research grantees funded by NCCAN are required to prepare data sets according to sound data processing and documentation practices and to house these data sets with the National Data Archive at the conclusion of the projects. Archive staff are expected, therefore, to be available and provide technical support on data entry, processing, data analysis, and documentation. Plans should also include the housing of data sets from related national surveys such as those conducted by the National Center for Health Statistics of the Department, the national incidence studies, the National Child Abuse and Neglect Data System (NCANDS), and housing of the database on measures for use in child abuse and neglect.

A centralized archive can facilitate collaboration among researchers for knowledge building and encourage new researchers to enter the field. An archive should also provide training and technical assistance opportunities for new researchers or postdoctoral candidates through the conduct of summer training institutes which bring a small number of researchers together to work on these data sets. Support for secondary analysis of various data sets in the archive can be provided through these training institutes as well as through small grants to researchers to work with these data sets. Support may

be provided for graduate research or postdoctoral research fellows to work in residence with archive staff on research related to the holdings. Workshops and training sessions can also be held at major national conferences.

Dissemination is a major function of an archive. This includes providing innovative tools such as CD-ROM and a range of ready-to-use formats that make archived data sets more easily accessible to the research community; publishing information on projects of the archive and new acquisitions; preparation of technical guidelines outlining data processing standards and user guides to archive holdings; and development and maintenance of electronic mail services to facilitate networking and information exchange among researchers in the field of child abuse and neglect, including their access to a database on measures appropriate for researchers in this field.

*Requirements for Project Design:* In order to compete successfully under this priority area, the applicant should:

- Demonstrate an understanding of the issues and problems associated with a national data archive on child abuse and neglect.
- Demonstrate an awareness of current activities being undertaken on this component and how the approach being proposed would build on this work.
- Propose an approach that is comprehensive and reflects cultural sensitivity to the issues being addressed.
- Describe the approach that would be employed for the specific functions being addressed, including training and technical assistance, and demonstrate sufficient resources and the appropriate facilities to undertake the project.
- Demonstrate an ability to gain access to necessary information, data sets, and data bases, as applicable and plans for addressing any ethical issues that may arise in the use of these data sets.
- Describe strategies for the dissemination of the products that would be of use to other researchers and practitioners in the field.
- Provide all required assurances and certifications, including a Protection of Human Subjects Assurance as specified in the policy described on the HHS Form 596.
- Provide assurances that at least one key staff person will attend a three-day annual spring meeting in Washington, DC.

*Project Duration:* The length of the project must not exceed 60 months.

*Federal Share of Project Costs:* The maximum Federal share of the project is

not to exceed \$250,000 per 12-month budget period.

*Matching Requirements:* There is no matching requirement.

*Anticipated Number of Projects to be Funded:* It is anticipated that one project will be funded at the maximum funding level.

*Catalog of Federal Domestic Assistance Number (CFDA):* 93.670, Child Abuse and Neglect Prevention and Treatment.

#### *1.02R. Consortium for Longitudinal Studies of Child Maltreatment Projects*

*Eligible Applicants:* Currently funded Consortium for Longitudinal Studies of Child Maltreatment projects initially funded for implementation in 1990 and 1991.

*Purpose:* To support a second implementation phase of the Consortium for Longitudinal Studies of Child Maltreatment for conducting and coordinating prospective studies of young children at risk of or who have already been maltreated. These studies are expected to contribute to the knowledge of the etiology and consequences and provide new insights into the prevention, identification and treatment of child maltreatment.

*Background Information:* In FY 1989, the NCCAN funded two successful applicants in response to the priority area for the Consortium for Longitudinal Studies of Child Maltreatment. The University of North Carolina at Chapel Hill and the Juvenile Protective Association in Chicago received a planning grant award for the central grantee and satellite grantee respectively. This planning grant was for a year to collaborate to develop a feasible plan for a longitudinal study. This was successfully accomplished. As stated in the original announcement, upon completion of this planning year, a central grantee and up to three satellites would be funded for a five-year period and possibly longer pending statutory authority and the availability of funds. It went on to state that additional satellite projects may be funded in the future.

In FY 1990 and FY 1991, NCCAN awarded five-year grants to the University of North Carolina at Chapel Hill and the Juvenile Protective Association for the implementation of the Consortium for Longitudinal Studies of Child Maltreatment. The University of North Carolina received the award for the central grantee and for two satellite sites (in North Carolina and Seattle) and the Juvenile Protective Association received the award for a satellite grantee (in Chicago) thus implementing the proposed plan for the Consortium

coordinating center and three satellite sites.

In FY 1990, the San Diego State University Foundation received a grant in response to the priority area on Psychological Impact of Child Maltreatment and by FY 1991 had signed an agreement to participate as a satellite site in the Consortium.

In FY 1991, the University of Maryland at Baltimore received a grant in response to the priority area on Field Initiated Research for Child Abuse and Neglect and agreed as part of their application to coordinate with the Consortium for Longitudinal Studies. The University of Maryland at Baltimore also signed an agreement to participate as a satellite site in the Consortium.

The Consortium currently consists of the coordinating center and five satellite sites. The collaborative effort is multidisciplinary in the composition of its members and has taken the name of the LONGSCAN Consortium. In this priority area, NCCAN seeks to address the needs identified by the NRC report for collaborative studies in the longitudinal developmental framework and theory based longitudinal research to examine the antecedents and consequences of child abuse and neglect.

LONGSCAN is a consortium of prospective studies designed to examine the life course of young children who are at risk of maltreatment or who have already been maltreated. The total projected sample size is about 1,500 children who are recruited at age four or younger. Baseline data is collected through child and primary caretaker interviews on all children in each of the studies at age four. Teacher assessments on each child are collected at subsequent follow-ups, after the child enters school. The studies use common data collection instruments and a common developmental perspective so that applied analyses of data as well as comparisons among sites and site-specific analyses can be accomplished. To date the specific common measurement batteries have been selected for ages four, six and eight. Tracking is carried out annually. Each site is responsible for selecting and maintaining a sample to follow at the designated data points for up to twenty years. The study duration of twenty years has been selected for conceptual reasons only and the actual duration of the effort will be contingent upon the availability of financial support.

The Principal Investigators have signed and abide by a Governance Agreement that describes the operating structure of the Executive Board and seven Committees (Publication, Measures, Human Subjects,

Communication, Field Procedures and Tracking, Data Handling and Analysis, Funding and Development) and policies related to ownership, local analysis and authorship. The Executive Board and Committees meet twice a year and use the Internet in between to discuss issues that arise and to reach agreement on the most appropriate procedures and actions to take.

Samples of children for the five sites vary by their level of risk and exposure to maltreatment. The studies include children identified at birth as "at risk", children identified in pediatric clinics during their first year of life as "at risk", children reported to child protective services agencies, children in treatment because of their maltreatment, children who have been removed from their families and placed in foster care following their maltreatment. Each site is also collecting data in addition to the common measures. For example, one site has recruited children in their first year of life and has a special focus on use of videotaped observations of parent-child interactions as a means of assessing attachment and bonding. Two sites are obtaining information on the role of the fathers in caring for the children.

During the first five years of implementation, the sites will have completed recruitment of their samples; collected site-specific data; selected, piloted and trained on administering measures for the age four and six year old follow-ups; three sites have been scheduled for the eight year old follow-up and training on use of the computer-assisted interviewing system developed for age eight; developed procedures and conducted annual contact interviews with the samples; developed forms and conducted CPS record reviews.

During the first five years of implementation, the coordinating center will have provided for coordination of measurement selection and development; production of instruments and operational manuals and training for site staff; development of the data entry system and training of site staff in entry and analysis; receipt and checks for the data; development and maintenance of datasets; and conducting analyses of pooled data.

Three sites will have completed the baseline data collection on the four year olds. Consortium members have written papers and presented individually and on panels at various national professional conferences.

NCCAN seeks to fund a second phase of the Consortium for Longitudinal Studies to enable a complete set of baseline measures at age four and a six year old follow-up for all children in the

samples. There is a four year range in the ages of the children in the studies so that additionally at least three of the five sites will complete the age eight follow-up. It is also expected that the pre-adolescent common measurement battery will be developed and used in a twelve year old or younger follow-up in at least one of the sites. This will provide for data analyses and findings for baseline and one follow-up of the samples and preliminary analyses for the next developmental transition into early adolescence.

*Requirements for Project Design:* In order to compete successfully under this priority area, the applicant should:

- Demonstrate an understanding of the issues and problems associated with being a coordinating center with satellite sites, or with being a satellite site, and participating in the Consortium for Longitudinal Studies of Child Maltreatment.

- Describe activities undertaken during the first implementation phase and how the approach being proposed for the second five-year effort would build on this work; describe the study samples(s) and how attrition of the study samples(s) will be addressed; explain how the issues of research definitions of child abuse and neglect have been and will be addressed.

- Propose an approach that is comprehensive and developmentally appropriate and reflects cultural sensitivity to the issues being addressed.

- Describe the approach that would be employed for the specific functions of a coordinating center with satellite sites, or of a satellite site, being addressed and demonstrate sufficient resources and the appropriate facilities for carrying out the project, as applicable.

- Demonstrate an ability to gain access to necessary information.

- Delineate data processing and documentation procedures, and indicate how aggregate or single site data analysis will be addressed by either the coordinating center or by satellite sites, as applicable.

- Describe plans for individual site data analyses for the satellite sites or plans for site-specific comparisons among sites and pooled data analyses, for the coordinating center.

- Describe plans for providing Consortium datasets to the National Data Archive on Child Abuse and Neglect in order to ensure the potential of these data sets for use by other researchers. A manual describing such practices, *The Preparation of Data Sets for Analysis and Dissemination: Technical Standards for Machine-Readable Data*, can be obtained free of



cost from the National Data Archive on Child Abuse and Neglect located at Cornell University, Family Life Development Center, G20 MVR Hall, Ithaca, New York 14853-4401 (telephone: 607-255-7794).

- Provide information on articles, papers and presentations on the projects to date as well as those planned; describe the strategies for the dissemination of the products, interim findings as appropriate and reports that would be of use to other researchers and practitioners in the field.

- Provide all required assurances and certification, including Protection of Human Subjects Assurances, as specified in the policy described on the HHS Form 596.

Discuss how the issues of informed consent have been and will be addressed for the child, primary caregiver, teacher and record reviews; describe use of the Certificate of Confidentiality and how any legal and ethical issues that may arise will be addressed.

- Provide assurances that at least one key staff person would attend a three-day annual spring meeting of research grantees in Washington, DC; and plan for two meetings of the Consortium Executive Board and Committees with one meeting to be held in Washington, DC.

*Project Duration:* The length of the project must not exceed 60 months.

*Federal Share of Project Costs:* The maximum Federal share of each of the three satellite sites is not to exceed \$250,000 per 12-month budget period. The maximum Federal share of the coordinating center with satellite sites is \$750,000 per 12-month budget period. Each project, including the satellite sites of the coordinating center, is expected to submit an individual application in response to this priority area. The coordinating center with satellite sites are to submit a combined budget, detailed for each project.

*Matching Requirements:* There is no matching requirement.

*Anticipated Number of Projects to be Funded:* We anticipate that a coordinating center and five satellite sites will be funded up to the maximum funding level.

*CFDA Number:* 93.670, Child Abuse and Neglect Prevention and Treatment

### *1.03T. Training and Technical Assistance for Community-Based Family Resource Programs*

*Eligible Applicants:* Public or private nonprofit agencies, organizations, and institutions of higher learning. Collaborative efforts and

interdisciplinary approaches are encouraged.

*Purpose:* The purpose of this Cooperative Agreement is to provide financial support for training and technical assistance (T/TA) to promote the purposes of the Community-Based Family Resource Program (CBFRP). This T/TA is intended to build the capacity of States and CBFRP lead agency staff to: (1) Facilitate and assist efforts of State, local, Tribal, public and private agencies in the interdisciplinary, coordinated planning, development, and implementation of a continuum of child-centered, family-focused, neighborhood-based family support services—including the coordinated implementation and delivery of those services; and (2) encourage public and private partnerships in the establishment and expansion of family resource programs.

Expected outcomes include State CBFRP lead agencies that have the capacity to conduct multi-disciplinary, integrated and coordinated: (1) Needs assessments, (2) policy development, (3) service delivery, and (4) program evaluations. This project is expected to train State agencies and facilitate effective interagency cooperation and collaboration that involves all stakeholders, including families, and promote public-private partnerships. This should be achieved through delivering on-site training, technical assistance, and consultation to all appropriate stakeholder groups. Training and technical assistance needs will be identified by State CBFRP lead agency staff in collaboration with ACYF Central and Regional Office personnel, and coordinated with other ongoing national training and technical assistance.

*Background:* Title IV of the Human Services Amendments of 1994, signed into law on May 18, 1994, established a new Title II of the Child Abuse Prevention and Treatment Act entitled Community-Based Family Resource Programs. The purpose of the CBFRP is to assist States to develop and implement, or expand and enhance, a comprehensive, Statewide system of community-based family resource services through innovative funding mechanisms and collaboration with existing education, vocational rehabilitation, health, mental health, employment and training, child welfare, and other social services agencies within the State.

Under the CBFRP, grants are to be made to States for the purposes of:

- (1) Establishing and expanding Statewide networks of community-based family resource programs,

including funds for the initial costs of providing specific family resource services, that ensure family involvement in the design and operation of family resource programs that are responsive to the unique and diverse strengths of children and families;

- (2) Promoting child abuse and neglect prevention activities;

- (3) Promoting the establishment and operation of State trust funds or other mechanisms for integrating child and family services funding streams in order to provide flexible funding for the development of community-based family resource programs;

- (4) Establishing or expanding community-based collaboration to foster the development of a continuum of preventive services for children and families which are family-centered and culturally competent;

- (5) Encouraging public and private partnerships in the establishment and expansion of family resource programs; and

- (6) Increasing and promoting interagency coordination among State agencies.

In redefining its relationship with State, local, public and private agencies and organizations, the Federal government is forging new partnerships based on coordination, collaboration, cooperation, and communication. Subpart 2 of Title IV—B of the Social Security Act (1993), entitled Family Preservation and Support, and Title II of the Child Abuse Prevention and Treatment Act (1994), authorizing the Community-Based Family Resource Programs, are two recent pieces of legislation that demonstrate this collaborative principle. Inherent in the implementation of both pieces of legislation is the necessity for Federal, State, local, public, and private agencies and organizations to participate together in the planning of programs and services.

In light of the practical need to increase interagency and interdisciplinary coordinated planning, development and implementation, and to involve all stakeholders, including customers, in the process, State agencies may need to develop new skills. More expansive and more cooperative ways of thinking are necessary to maximize programmatic potential and achieve legislatively-mandated goals. The training and technical assistance required to change attitudes and create a climate for new partnerships at Federal, State and local levels is a significant challenge.

NCCAN intends to support one training project through a Cooperative Agreement. (A Cooperative Agreement



is Federal financial aid in which substantial Federal involvement is anticipated. The respective responsibilities of Federal staff and project staff are negotiated prior to award.)

*Requirements for Project Design:*

Applicants must describe their capabilities, related experience, and their plans for building the capacity of Federal, State, and local public and private agencies to increase interagency and interdisciplinary coordination and collaboration in the development and implementation of a continuum of child-centered, family-focused, neighborhood-based family support services, and to involve all stakeholders, including customers, in the total process. This must include a plan for assisting States in the building of partnerships between State agencies and local public and private agencies including child welfare agencies, child protective services, education agencies and programs, and the broad array of health services. In order to successfully compete under this priority area, the application must:

- Provide documentation of the applicant's experience in providing training and technical assistance, in identifying T/TA needs and developing or participating in the development of a plan to meet those needs, and in recruiting, assigning, and deploying staff with appropriate experience in the delivery of T/TA. The application must also provide information about the applicant's expertise in designing training, developing training materials, and organizing and conducting training sessions.
- Provide documentation of the experience of the applicant in areas directly relevant to the purposes of this Training and Technical Assistance Cooperative Agreement, including the applicant's capability, experience, and capacity-building strategies for increasing interagency and interdisciplinary coordination and collaboration between the State CBFRP lead agency and among all stakeholders, including families, at State and local levels. Include a description of staff with appropriate expertise who would provide training and technical assistance to the target recipients.
- Provide a training and technical assistance plan that will increase the capacity of State CBFRP lead agencies to promote communication, coordination, cooperation and collaboration among agencies within States and communities, and that will result in maximum utilization of existing resources, coordinated referral systems, standardized eligibility and intake

procedures, and ease of access for customers and referring professionals.

- Provide a plan for promoting interagency collaboration and implementation of new procedures for blending funding streams, for collaborative long-range planning of family support services and service delivery options, and for management improvement strategies that facilitate interagency coordination (i.e., re-evaluating current case referral and intake procedures, establishing eligibility criteria that accommodate other-agency referrals that might otherwise cause duplication of programs, designing case management procedures that include interdisciplinary/interagency participation, and streamline record-keeping practices and accessibility without compromising client confidentiality).
- Provide a plan for assisting State CBFRP lead agencies to improve their cultural competence, including promoting the ability of all participating agencies to serve all families effectively, make culturally appropriate placements, recruit and employ minority staff, deliver culturally relevant support services, assess the factors contributing to the over-representation of minority families in need of support services, and develop strategies to improve outcomes for minority families and children.
- Provide a plan for identifying, documenting, and disseminating information about innovative and/or exemplary family support services, including innovative and well-coordinated interagency delivery systems.
- Demonstrate the capacity to articulate a child-focused, family-centered approach to the delivery of family support services, with linkages that reinforce and complement the State's Family Preservation and Family Support program, and with an emphasis that focuses on the prevention of child abuse and neglect.
- Describe a strategy for identifying, documenting and developing innovative and/or exemplary resources such as training curricula and manuals, especially in the area of interagency coordination and collaboration, and for assisting the Regional Offices in adapting such resources to meet specific needs in their States.
- Provide a plan for assisting State CBFRP lead agencies to develop outcome measures at the child, family, and program levels, and to engage in ongoing evaluation of the CBFRP with particular emphasis on customer input and satisfaction, and the efficacy of interagency efforts.

- Provide assurances that the project will coordinate and collaborate with the training and technical assistance providers funded by NCCAN and CB.

- Provide a timeline and budget for implementing this agreement, and include any proposed cost to agencies or customers if it is anticipated there might be reason to assess such costs.

- Agree to enter into a Cooperative Agreement which will require the grantee to submit to the National Center for Child Abuse and Neglect Federal Project Officer, for review and approval: Workplans, including as appropriate, meetings and other activities involving Federal staff in the HHS Central Office and Regional Offices; lists of topics to be covered in training and technical assistance; topics, times and places for conferences; selection and assignment of appropriate staff for the delivery of training or technical assistance; topics for any collection of original data; and draft reports, conference agendas and other materials prior to their finalization and dissemination by the grantee.

- All applications for this priority area are expected to have an evaluation component. It is recommended that approximately 10 percent of the proposed budget be set aside for evaluation efforts. An external evaluator may be hired or an internal evaluation may be designed. As appropriate to the activities being proposed and project length, either a process or outcome evaluation may be designed. Goals and objectives should be stated in specific measurable form to document change, improvement, or effectiveness.

*Project Duration:* The length of the project must not exceed 17 months.

*Federal Share of Project Costs:* The maximum Federal share of this project is not to exceed \$400,000 for the 17-month budget period.

*Matching Requirements:* Grantees must provide at least 25 percent of the total approved cost of the project. The total approved cost of the project is the sum of the ACF share and the non-Federal share. The non-Federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions. Therefore, a project requesting \$400,000 in Federal funds must include a match of at least \$133,333 (25% total project cost).

*Anticipated Number of Projects to be Funded:* It is anticipated that one project will be funded under this announcement.

*CFDA Number:* 93.670, Child Abuse and Neglect Prevention and Treatment

*F.2 Children's Bureau Child Welfare Research, Demonstration and Training Priorities*

*2.01R. Assessing The Quality of Out-Of-Home Care in the Child Welfare System.*

**Eligible Applicants:** Any State, public or nonprofit organization or agency, including institutions of higher education, State, local and community-based social services agencies, colleges and universities are encouraged to submit applications.

**Purpose:** To conduct research which identifies the factors related to high quality foster family homes, including relative foster family homes, and/or non-treatment group homes for children in the child welfare system.

**Background Information:** The numbers of children in out-of-home care in the child welfare system have increased each year since 1983, and particularly between 1988 and 1992. In 1993 it is estimated that almost 440,000 children are under State care, primarily in foster family homes. Many foster family homes are licensed or certified by the State, but relative homes which are not receiving foster care funding from the State may not be certified or licensed. The licensing of group homes is variable depending on the auspices of the group home and on the State. Pre-service and on going training is usually provided to foster families but training is limited and uneven for group home staff.

There is no system for evaluation of the quality of care provided in either foster family homes or non-treatment group homes so that it is not possible to relate the quality or content of the training to the quality of care provided by the foster family or group home. In addition, children served range in age from birth to age 18, and may evidence a very wide range of medical, physical, social, emotional and behavioral problems. Obviously, the needs of the children vary widely.

**Requirements for Project Design:** In order to successfully compete under this priority area, the application should:

- Describe and define the subgroup to be studied, e.g. age range, type of placement, other characteristics of interest, and justify this selection.

- Describe, based upon a review of the literature, how the project would fill a critical gap in information needed to improve policy, practice, and/or management in foster homes and/or non-treatment group homes used by the child welfare system.

- Describe the overall research design that would be employed including sampling procedures; types of data to be

collected; procedures for data collection; instruments and measurements to be utilized, adapted or developed, including assessments of their reliability and validity; and plans for data analysis. Where possible, standardized instruments should be used or adapted.

- Discuss the scientific merit of the design selected including its strengths and weaknesses as well as the identification of alternative designs which were considered but rejected and the reasons for rejecting them.

- Indicate the ability to gain access to necessary information, data, provider agencies and clients. Letters of commitment from all cooperating agencies should be included.

- Discuss the possible utilization of the findings, including the perspectives of responsible State agencies, provider agencies, monitoring and licensing systems and child advocacy groups. Describe plans to work with these or other appropriate groups to utilize the findings of this research and provide suggestions for next steps in program and research.

- Describe the reports that would be developed under the project, including the types of information that would be presented, and the steps, including submission for publication to a referred journal, that would be undertaken to disseminate and promote the utilization of project findings.

- Provide assurances that the principal investigator would attend a four day annual meeting of grantees in Washington, DC.

- Grant recipients will be expected to follow an NCCAN-suggested format in the preparation of final program reports in order to achieve broader dissemination and successful utilization of findings by policymakers, practitioners, and researchers, and copies of final reports and other products shall be provided to the Clearinghouse.

**Project Duration:** The length of the project must not exceed 36 months.

**Federal Share of Project Costs:** The maximum Federal share is not to exceed \$200,000 per 12-month budget period.

**Matching Requirement:** There is no matching requirement.

**Anticipated Number of Projects to be Funded:** It is anticipated that 2 projects will be funded.

**CFDA:** 93.608 Child Welfare Research and Demonstration; Section 426 of the Social Security Act, as amended.

*2.02R. How Decisions to Change the Case Plan Goal are Initiated*

**Eligible Applicants:** Any State, public or nonprofit organization or agency,

including institutions of higher education, State, local and community-based social services agencies, colleges and universities are encouraged to submit applications.

**Purpose:** To conduct research that identifies the factors which delay or facilitate decisions to change the case plan goal for children in out-of-home placement in the child welfare system. Of particular interest for this priority area is the decision to change the case goal of "return home" to the goal of "adoption" or other permanent plan.

**Background Information:** Current child welfare policy and practice emphasize that children develop best in a permanent family home. Family preservation and/or support services should be provided to prevent out-of-home placement, and if placement occurs, reasonable efforts must be made to return the child home. If these reasonable efforts are unable to rehabilitate the parent(s), or if the parent is otherwise not available (dead, in prison for a long term, mentally ill or incapacitated) then the goal of return home is not appropriate. In these cases the agency must move to change the goal and direct its efforts toward an alternative permanent plan for the child. Goals may include adoption, placement with relatives, long-term foster care with a specific family, or independent living.

Review of State foster care programs indicate that many agencies persist in having a goal of return home for extended periods of time after it appears clear that the child will not return home. Public Law 96-272, the Adoption Assistance and Child Welfare Act of 1980 requires that the case plan goal must be established by the time of the six month case review, and the case disposition should be approved by the court at the time of the eighteen month dispositional hearing.

The Voluntary Cooperative Information System (VCIS) does not provide information on case goals sufficient to permit any analysis. However, it does indicate that while up to 40% of the children will return home in less than one year, the rest will be in care for more extended periods, and some 10% to 15% will remain in care for five or more years. Further, in 1989, it is estimated that 50% of the children nationally experienced from 2 to 5 placements, and almost 7% had more than 6 placements. These extreme lengths of time in placement and numbers of placements indicate that there are serious problems in case planning and case management for a significant minority of children.

*Requirements for Project Design:* In order to successfully compete under this priority area, the application should:

- Describe, based upon a review of the literature, how the project would fill a critical gap in information needed to improve policy, practice, management and/or evaluation in child welfare programs.

- Describe the overall research design that would be employed including sampling procedures; types of data to be collected; procedures for data collection; instruments and measurements to be utilized, adapted or developed, including assessments of their reliability, validity; and plans for data analysis. Designs involving qualitative data collection may be proposed.

- Propose a research design that would identify the initial decision maker(s) and the incentives and disincentives which influence the worker, supervisor, agency administrator and other participants; degree of dissonance between formal and informal rules; presence of mythology relating to acceptance of such changes; assessment of difficulties related to court review, legal counsel, State law and other system factors insofar as these impinge on the initiation of the goal change decision; and related issues, such as worker turnover, and staff training. Address the issue within the context of ongoing services and real case decisions. Simulated decisions may be proposed only as a preliminary step.

- Discuss the scientific merit of the design selected including its strengths and weaknesses as well as the identification of alternative designs which were considered but rejected and the reasons for rejecting them.

- Indicate the ability to gain access to necessary information, data, staff and clients. Letters of commitment from cooperating agencies must be included.

- Describe the reports that would be developed under the project, including the types of information that would be presented, and the steps, including submission for publication to a referred journal, that would be undertaken to disseminate and promote the utilization of project findings.

- Provide assurances that the principal investigator would attend a four day annual meeting of grantees in Washington, DC.

- Grant recipients will be expected to follow an NCCAN-suggested format in the preparation of final program reports in order to achieve broader dissemination and successful utilization of findings by policymakers, practitioners, and researchers, and

copies of final reports and other products shall be provided to the Clearinghouse.

*Project Duration:* The length of the project must not exceed 36 months.

*Federal Share of Project Costs:* The maximum Federal share is not to exceed \$200,000 per 12-month budget period.

*Matching Requirement:* There is no matching requirement.

*Anticipated Number of Projects to be Funded:* It is anticipated that 2 projects will be funded.

*CFDA:* 93.608 Child Welfare Research and Demonstration: Section 426 of the Social Security Act, as amended.

#### *2.03D Involving Parents In Service Design*

*Eligible Applicants:* Public and private child welfare agencies.

*Purpose:* To demonstrate effective ways to involve parents in agency program planning and decision-making to improve the acceptability, accessibility and quality of child welfare services.

*Background Information:* The child protection and child welfare system is generally viewed by parents involved in it as an adversary. A report of suspected abuse or neglect triggers an investigation and the parent is vulnerable to possible criminal and/or civil charges; to being the recipient of mandated services and/or to the loss of the children either temporarily, or permanently if the allegations are founded. A voluntary request by parents for help may result in the request being re-classified as involuntary so that services can be provided. Many of the agency policies and ways of operating are perceived by parents as negative and coercive and they frequently complain about a lack of understanding of or appreciation for their cultural values which may differ significantly from the values represented by the agency. For example, agency location, office hours, availability of interpreters, transportation for visits to a child in out-of-home care, and similar factors may make it difficult for a parent to keep appointments or to meet the requirements of the case plan. In addition, misunderstandings about family behavior norms may be interpreted as failure to cooperate.

Agency staff who seek to work with the parents to provide education, counseling, support and family preservation services recognize the negative impact of the system. Some workers develop approaches which are positive, stressing acceptance of the family, and recognizing that all families have strengths and that programs

designed to assist families must build on those strengths.

*Requirements for Project Design:* In order to successfully compete under this priority area, the application should:

- Describe, based upon a review of the literature, specifically how the project would involve client parents to fill a critical gap in information needed to shape service delivery through improvement of policy, practice and management in child welfare programs to make them more supportive and less threatening to parents receiving their services.

- Describe the overall demonstration design to be employed. Applicants may propose to involve clients and community representatives in a variety of ways including: To serve on agency boards; to set up special panels of parents; to conduct focus groups; and/or to implement other approaches to assist the agency to review and revise agency policy and practice. The proposed approach must be simple and low cost in order to be feasible under current conditions when agencies have few additional resources.

- Describe the overall evaluation plan, including a description of the types of data to be collected, procedures for data collection, analytical strategy and dissemination plan. Applicants may propose an evaluation using a before and after design, a comparison between two sites, or other appropriate evaluation design.

- Provide assurances from the cooperating agencies regarding their commitment to be involved in the development of the demonstration, and intent to continue the pattern of parent involvement following the completion of the project.

- Provide assurances that the principal investigator would attend a four day annual meeting of grantees in Washington, DC.

- Grant recipients will be expected to follow an NCCAN-suggested format in the preparation of final program reports in order to achieve broader dissemination and successful utilization of findings by policymakers, practitioners, and researchers, and copies of final reports and other products shall be provided to the Clearinghouse.

*Project Duration:* The length of the project must not exceed 36 months.

*Federal Share of Project Costs:* The maximum Federal share is not to exceed \$75,000 per 12 month budget period, 15% of which must be used for the program evaluation.

*Matching Requirement:* The applicant must provide at least 10 percent of the total approved cost of the project. The

total approved cost is the sum of the ACYF share and the non-Federal share. The non-Federal share may be in cash or in-kind contributions. Therefore, a project requesting \$225,000 in Federal funds must include a match of at least \$25,000 over the three years. (The non-Federal share for the initial 12 month budget period is \$8,333.)

*Anticipated Number of Projects to be Funded:* It is anticipated that 2 projects will be funded.

*CFDA Number:* 93.608 Child Welfare Research and Demonstration; Section 426 of the Social Security Act, as amended.

#### 2.04T Foster Care Review Systems

*Eligible Applicants:* Any State, local, public or private nonprofit agency or organization, including accredited colleges and universities.

*Purpose:* The purpose of this Priority Area is to provide training and technical assistance to State child welfare agencies and to review board members to enhance the accountability and efficiency of States' out-of-home care systems in overseeing the quality and appropriateness of care for children in the State foster care system. At a minimum the models must include citizen review boards or other forms of case review systems selected by the states, such as, administrative or other forms of non-judicial review systems.

*Background Information:* In 1993, it was estimated that approximately 440,000 children in the child welfare system were in out-of-home care. Children who are placed in care have been exposed to serious family dysfunction and have experienced physical and/or psychological injury. Out-of-home placement can create additional problems/risks for children who are already at high risk for psychological and behavioral disturbances, developmental delays and academic and social difficulties. Children who remain unnecessarily long in foster care represent a loss in both human and financial terms.

Every child in foster care has a right to a permanent, loving stable family relationship either through reunification with a biological family, adoption or placement in kinship or guardianship care. Every child welfare system has a goal of permanency planning for children in their care.

Child welfare agencies have been experiencing increasing foster care caseloads consisting of more complex familial problems, especially substance abuse issues. This situation has severely tested the ability of child welfare systems to keep track of the children in their care, especially in terms of length

of time in care and appropriateness of placement setting.

One way to assist child welfare systems in monitoring the cases in out-of-home care is the use of foster care review boards. The use of foster care review boards began in the 1970s. In 1974, South Carolina became the first State to enact legislation establishing a statewide foster care review system including a foster care citizen review board. In 1977, New Jersey, recognizing South Carolina's success in reducing the number of children remaining unnecessarily long in care, passed legislation requiring administrative and judicial review of children in out-of-home placement. By 1979, Delaware and Maryland had passed legislation requiring the establishment of review boards.

The Federal government's approach to increase states' accountability for the children in out-of-home care was the passage of Public Law 96-272, the Adoption Assistance and Child Welfare Act of 1980. This legislation required a review of each child in care every six months by either an administrative or court review. The purpose of the review is to determine the appropriateness and continuing necessity for the out-of-home placement, the extent of compliance with the case plan and the extent of progress made in alleviating the causes of the placement. The review also helps project a date by which the child can return home, be placed for adoption or be placed in another permanent setting. Reviews have also been used to identify systemic issues which are a barrier to meeting the child's best interest. Anecdotal reports have indicated that the establishment of foster care review systems has increased the child welfare system's accountability and management of cases in foster care beyond what it was in the 1970s.

*Requirements for Project Design:* The applicant should provide State child welfare agencies and foster care review board members with the necessary information, methods and techniques to develop, expand, improve or strengthen foster care review systems. The training and technical assistance provided should be designed to assist the review boards to achieve the following:

- Objective standards in determining case goal(s), appropriateness of placement and time in care;
- An integral role for the review board which establishes a partnership with the court and child welfare agency in decision-making on case goals and recommendations;
- Authority to access the necessary information regarding the case and

appropriate services and to serve as an advisor to the court;

- Timelines which include both the frequency of reviews and the capacity to set firm goals and timetables for cases;
- Knowledge of agency operations, staff resources, availability of services, service needs of the client families and the ability to make recommendations that are practical and achievable;
- Enhanced ability to use knowledge acquired through the review process to influence the outcomes for children; and
- Enhanced knowledge to improve case assessment skills and systems assessment.

The applicant will help develop the capacity of State child welfare agencies to establish, expand or improve foster care review systems. Applicants must describe their capabilities and plans to provide training and technical assistance to the State child welfare agencies and review board members. The application should:

- Describe the applicant's knowledge about the issues and problems involved in establishing, expanding and improving citizen review boards as well as other review systems selected by the State, such as, administrative reviews, or other forms of non-judicial reviews, particularly in bringing about more accountability and efficiency to the process; and a description of the strengths and weaknesses of various models.
- Describe a plan for providing training and technical assistance to State agencies and interested parties to establish, develop and/or improve the competency of the foster care review boards which will result in improved case outcomes for children in foster care.
- Describe the applicant's experience in providing training and technical assistance to State agencies which are responsible for operating a variety of foster care review boards, including a procedure to evaluate the consultation provided.
- Describe the applicant's experience in providing training and technical assistance to foster care review board members, including a procedure to evaluate the consultation provided.
- Describe a strategy such that the training and technical assistance provided will result in sensitizing the review boards to cultural diversity and developing skills that the review board members can use in serving client populations that are economically, racially and culturally diverse.
- Describe a plan to ensure that the training and technical assistance is

provided by a racially and culturally diverse staff.

- Describe a plan to establish linkages and partnerships among the foster care review system, the state child welfare agency and the court in order to strengthen communication and coordinated service delivery to children in out-of-home placement. Identify issues around which the relationships can be built.

- Describe an approach that the foster care review system could use to educate the community about programs and procedural issues affecting the child welfare system including, but not limited to, insufficient preventive and supportive family services; insufficient casework staff; obsolete State legal codes; needed improvements in the court and agency relationships; and the identification of State/county/city service needs and resource deficits.

- Describe a plan to develop and disseminate nationally, informational materials on topical issues related to foster care review systems.

- Provide an assurance that key grantee staff will meet with their Federal project officer and other ACYF staff in Washington, D.C. within sixty days after receiving the award.

- Provide an assurance that at least one key staff member would attend an annual four day meeting of the Children's Bureau grantees in Washington, D.C.

- Outline a plan for interaction with ACF for implementation under a cooperative agreement including, as appropriate, Headquarters and Regional Office staff. (A cooperative agreement is Federal Assistance in which substantial Federal involvement is anticipated. The respective responsibilities of Federal staff and the awardee are negotiated prior to award.)

*Project Duration:* The length of the project must not exceed 36 months.

*Federal Share of Project Costs:* The Federal share of the project is \$1,000,000 over three years. The first and second 12 month budget period will be funded for \$300,000 each and the third 12 month budget year will be funded for \$400,000.

*Matching Requirements:* The applicant must provide at least 10 percent of the total approved cost of the project. The total approved cost is the sum of the ACYF share and the non-Federal share. The non-Federal share may be in cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions. Therefore, a project requesting \$1,000,000 in Federal funds must include a match of at least \$111,112 over the three years. (The non-

Federal share for the initial 12 month budget period is \$33,333.)

*Anticipated Number of Projects to be Funded:* It is anticipated that one project will be funded as a cooperative agreement.

*Length of Applications:* The maximum length of the application shall not exceed 60 pages including appendices.

*CFDA Number:* 93.658 Foster Care Title IV-E: Section 476 of the Social Security Act, as amended.

#### *2.05T Professional Education for Public Child Welfare Practitioners*

*Eligible Applicants:* Institutions of higher education with accredited social work education programs or other bachelor or graduate level programs leading to a degree relevant to work in child welfare. Given limited funds and in order to generate and financially support the widest possible variety of issues and approaches, priority will be given to applicants which have not been funded under this priority area in FY 92 and FY 93 or the Interdisciplinary Training Programs for Child Welfare priority area in FY 91 and FY 92. However, previously funded applicants under this priority area will not be precluded from receiving a grant.

*Purpose:* To develop and/or strengthen the training of future and current public child welfare agency staff by offering traineeships and through the provision of competency-based child welfare training with a particular emphasis on imparting critical knowledge and developing skills which are responsive to the problems confronting public child welfare agency clients. Trainees will be enrolled as bachelor's or master's level students at institutions with accredited social work programs.

*Background Information:* This priority area was originally developed for the FY 92 Child Welfare Services Training Program Announcement and was included again in the FY 93 Announcement. The priority area emerged out of a generally recognized need to enhance social work education's ability to effectively prepare students for the realities of contemporary public child welfare agency practice and to invigorate the workforce of the public agency.

The Children's Bureau has funded a total of 39 social work education programs to conduct projects in this priority area. In many instances, these projects have prompted an expansion, reorientation, or renewed emphasis of the social work education program's mission to include public service. In virtually all instances, these projects

have fostered the development and strengthening of partnerships between schools and departments of social work and public agencies by linking faculty and agency staff to generate sets of competencies, and collaborate in instruction and field work. These projects have also been asked to attract and serve a more diverse pool of students under the assumption that their eventual work in public child welfare will help contribute to a more culturally sensitive practice.

In response to the Children's Bureau's request, these professional education grants have gone beyond awarding traineeships. Grantees have been asked to focus on curriculum reform involving the development of specific child welfare courses and the inclusion of child welfare oriented content in courses across the various sequences of the undergraduate and graduate social work curricula. It is believed that an expanded treatment of child welfare will strengthen BSW and MSW graduates' abilities to assess and respond to the multiple and interconnected needs of the children and families being served by publicly administered and publicly supported agencies. Grantees have also been asked to focus on increasing the numbers of field placements in public child welfare agencies and improving the quality of the supervision of those placements. It is believed that greater exposure to public child welfare as a viable employment option, and the benefit of a quality placement experience, increases the likelihood that social work students will seek employment in public agencies.

As a result of funding 39 projects through this initiative there is a great deal of momentum and activity throughout the nation at the present time. The funding of a Cooperative Agreement between the Children's Bureau and Florida International University and the funding of 11 interdisciplinary child welfare training grants also built interest in the subject and mobilized involvement. It is important to help sustain the heightened attention and efforts around building partnerships and a quality workforce by again providing support for professional education projects in this year's announcement.

In order to be responsive to a number of unique issues and factors in professional education for public child welfare practice this priority area is being subdivided into three subcategories:

**2.05TA Professional Education for New Entry Level Agency Staff (Awarding the BSW degree)**

**2.05TB Professional Education for Existing Agency Staff (Awarding the BSW and/or MSW Degree)**

**2.05TC Professional Education for New Advanced Level Agency Staff (Awarding the MSW Degree)**

Applicants must identify which subcategory their application is in response to. An institution may submit only one application under this priority area.

**Requirements for Project Design:** In order to compete successfully under this priority area, the applicant should:

- Demonstrate knowledge and understanding of the work that has transpired throughout the country around this professional education initiative and indicate how the proposed project either builds on what has transpired and/or seeks to add an innovative dimension.
- Describe past and/or current collaborative efforts between the educational program and the public (State/local/Tribal) agency. Specify how this project will be used to build on an existing partnership or initiate a partnership agenda.
- Describe curriculum revision that has taken place or reforms that are planned as a result of this project to strengthen and expand child welfare content. Curriculum reform should involve required courses across the sequences and not just the development of child welfare related electives. Explain how faculty curriculum committees will be involved in this process and provide evidence to confirm commitment to curriculum reform.
- Include a plan for evaluation which, at a minimum, discusses the competency-based aspects of the child welfare content, making sure to explain how student acquisition of competencies will be assessed. Applicants are especially encouraged to think about ways of integrating field experiences and classroom instruction to determine attainment of competencies.
- Present a plan for offering traineeships with the grant funds and the criteria to be used in awarding traineeships. A minimum of two-thirds of the funds shall be used for traineeships. Describe who the students would be (undergraduate or graduate level or both); how many are expected to be trained over the life of the project; the criteria for the selection of students as trainees; how the trainees would be

recruited to promote the inclusion of persons from communities whose children are over-represented in the child welfare system; and the strategy which would be used to insure that students work in public child welfare after graduation.

- Include a plan for a follow-up of students to determine their subsequent employment in public child welfare agencies.
- Describe the final report and/or other products, such as curricula or training modules, that would be developed under the project. Identify relevant audiences for each proposed product and the steps that would be undertaken to disseminate and promote the utilization of project products and findings.
- Provide assurances that at least one key staff person from the university and one key staff person from the public child welfare agency would jointly attend a one-day annual meeting in the HHS Regional Office shortly after the award of the grant as well as a four day annual meeting in Washington, DC.
- Describe the social work education program's current access to title IV-E training funds. If they are currently being accessed explain how this grant will be used to enhance and/or expand activity in this area. If title IV-E training funds are currently not being accessed, provide a plan on how those funds will be actively sought during the life of this grant.

**Project Duration:** The length of the project must not exceed 24 months.

**Federal Share of Project Costs:** The maximum Federal share is not to exceed \$75,000 per 12-month budget period. A traineeship must not exceed \$7,500 per student per budget year.

**Matching or Cost Sharing Requirement:** No matching funds are required for the portion of the budget which pays for traineeships. Grantees must provide at least 25 percent of the total cost of grant activities other than traineeships. The total approved cost of these activities is the sum of the ACYF share and the non-Federal share. The non-Federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through a cash contribution. Therefore, a project requesting \$20,000 in Federal funds for non-traineeship activities over the 24 month time span of the project (based on \$10,000 non-traineeship activities per budget period) must include a match of at least \$6,666.66 (25 percent of the total cost for these activities). Because this is a training grant, indirect costs for these projects shall not exceed 8 percent.

**Anticipated Number of Projects to be Funded:** It is anticipated that a total of approximately 15 to 24 projects will be awarded, five to eight under each subpriority area 2.05TA, 2.05TB, and 2.05TC.

**CFDA Number:** 93.648 Child Welfare Services Training Program Grants: Section 426 of the Social Security Act, as amended.

**2.06T The Child Welfare Fellows Program: Tenured Faculty Development**

**Eligible Applicants:** Institutions of higher education with accredited social work education programs or other bachelor or graduate level programs leading to a degree relevant to work in child welfare.

**Purpose:** This priority area is designed to promote the integration of the applied and theoretical knowledge base of tenured faculty in social work education programs at the BSW and MSW levels regarding contemporary public child welfare practice, and strengthen their abilities to train students for work in the field of child welfare from a more informed perspective.

**Background Information:** There is anecdotal evidence from the field, as well as from projects funded by the Child Welfare Services Training Program in the past several years, which suggests that schools and departments of social work are paying more attention to the recruitment and hiring of new junior faculty with child welfare backgrounds. Moreover, there is a cadre of tenured faculty whose teaching, research and service would be enhanced from greater involvement with public child welfare. It is believed that enriching and expanding the child welfare content knowledge of tenured faculty in social work education programs would result in the more effective preparation of students for positions in public child welfare agencies.

This priority area would fund a three year cooperative agreement between the Children's Bureau and an education program which would administer the Child Welfare Fellows Program. During the first year of the cooperative agreement, the successful applicant would establish relationships and work with various relevant organizations and constituencies (the Council on Social Work Education, the National Association of Deans and Directors of Social Work, the Association of Baccalaureate Program Directors of Social Work, National Association of Public Child Welfare Administrators) to create visibility, interest, status and support for the effort, and to design and

implement a competitive process for selecting and managing a group of fellows from a pool of applicants.

During the second year of the cooperative agreement, the selected group of tenured faculty from across the country would receive faculty development grants which would provide them with release time from classroom instruction and allow them to perform a range of tasks in their local public or Tribal child welfare agency. Faculty chosen as Fellows would be expected to use the faculty development grant to update their own knowledge, strengthen their pedagogy, and conduct public welfare research. They are expected to use the agency experience to revise instructional content for the courses they teach by making stronger connections between theoretical frameworks and real world situations and circumstances. They are also expected to advance the school-agency partnership agenda by providing more effective research and service to the public agency. During the summer of the second year, an institute would be held which would bring all the Fellows together and have them assess and analyze their experiences, exchange ideas and insights, and hear from and work with current experts in the child welfare field.

Finally, during the second year, a second and larger cohort of faculty would be chosen to participate as Fellows in the third year of the cooperative agreement. A summer institute would also be held for this group during the third year.

**Requirements for Project Design:** In order to successfully compete under this priority area the applicant should:

- Demonstrate knowledge and understanding of the issues involved in designing and implementing a Child Welfare Fellows Program and present an overall approach to administering this initiative.
- Describe a plan for year one focusing on strategies for outreach and enlisting support including identifying key organizations for collaboration and the kinds of activities that would be conducted in order to accomplish outreach and obtain support. The formation of an Advisory Board should be considered.
- Describe strategies for recruiting and criteria for selecting applicants for participation as Child Welfare Fellows, making sure to present both the advantages and disadvantages of different strategies and the rationale for choosing the strategies that have been selected.
- Include a plan for evaluation which, at a minimum, discusses

proposed outcomes for faculty participating in the program for both the public agency and the social work education program.

- Propose the size of the fellows group for the second and third years of the project and provide a justification for the size chosen.
- Provide a detailed design plan for the Summer Institute consisting of proposed length, topics, presenters, formats, and a mock agenda.
- Propose a plan for establishing cost-sharing relationships with education programs which will be sponsoring faculty to participate as Fellows.
- Provide assurances that at least one key staff person from the project would jointly attend a four day annual meeting in Washington, DC.
- Describe the final report and/or other products that will be developed under the project. Identify relevant audiences for each proposed product and the steps that would be undertaken to disseminate and promote the utilization of project products and findings.
- Agree to enter into a Cooperative Agreement with the Children's Bureau. (A Cooperative Agreement is Federal Assistance in which substantial Federal involvement is anticipated. The respective responsibilities of Federal staff and the awardee are negotiated prior to award.)

**Project Duration:** The length of the project must not exceed 36 months.

**Federal Share of Project Costs:** The maximum federal share is not to exceed \$75,000 during the first 12-month budget period. In the second 12-month budget period the maximum federal share is not to exceed \$175,000, and in the third 12-month budget period the maximum federal share is not to exceed \$250,000. For the total three year project the maximum Federal share is \$500,000.

**Matching or Cost Sharing**

**Requirement:** Grantees must provide at least 25 percent of the total cost of grant activities. The total approved cost of these activities is the sum of the ACYF share and the non-Federal share. The non-Federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through a cash contribution. Therefore, a project requesting a total of \$500,000 in Federal funds for all 3 budget periods must include a total match of \$166,666.66 (25 percent of the total project cost of \$666,666.66.) Because this is a training grant, indirect cost for this project shall not exceed 8 percent.

**Anticipated Number of Projects to be Funded:** It is anticipated that one project will be funded.

**CFDA:** 93.648 Child Welfare Services Training Program Grants: Section 426 of the Social Security Act, as amended.

### *2.07T Innovative Training for Exemplary Practice*

**Eligible Applicants:** Institutions of higher education with accredited social work education programs or other bachelor or graduate level programs leading to a degree relevant to work in child welfare.

**Purpose:** This priority area encourages the development of training packages for in-service education to improve practice in critical areas of child welfare. It also seeks to build on and expand the scope of partnerships between social work education programs and public child welfare agencies.

**Background Information:** Child welfare practice is undergoing profound transformations. The case management aspect of the work performed by child welfare direct service staff is being transformed by demands inherent in the emergence of managed care as well as in wrap-around and integrative service projects. A more relevant repertoire of clinical interventions for child welfare workers is necessitated by the pervasiveness of substance abuse among families being served, heightened levels of domestic and community violence, and increasing numbers of infants coming into substitute care. In order to maintain quality practice in the face of these and other challenges child welfare workers need training to acquire new knowledge and new sets of skills.

A number of schools and departments of social work throughout the country already have effective working relationships with public human service agencies to provide child welfare staff training and development. Other social work education programs are in the process of forging agreements to render training. This priority area builds on these efforts. Grantees will be expected to collaborate with the State IV-B/IV-E agency, the local public child welfare agency, or a Tribal or consortium of Tribal child welfare programs, on the design and implementation of innovative in-service training packages for direct service staff. Training packages for exemplary practice should be competency-based and should incorporate stages of awareness and understanding through skill acquisition.

It is envisioned that grant activity funded under this priority area will also have a beneficial impact on professional education. Faculty involved in the creation of these training packages will be expected to make changes in course



content and in instruction based upon their work in this project.

Applicants may submit an application to develop a training package to address any one of the following topics of critical importance:

- Working with families contending with domestic and/or community violence.
- Working with families contending with substance abuse.
- Refining and targeting family preservation services.
- Working with relatives as foster parents.

An institution can submit more than one application under this priority area, but each application can only address one of the above topics.

Applications to develop training packages on topics other than those listed above will not be accepted.

**Requirements for Project Design:** In order to successfully compete under this priority area the applicant should:

- Identify the current status of training and identify existing training resources in the topic. Clarify how the proposed package is innovative and how it will contribute to exemplary practice.
- Document the need for the particular training, specify and distinguish among different levels of competencies workers will attain, delineate the training design process, provide a detailed outline of the content to be covered, and describe training formats to be utilized.
- Describe the nature and longevity of the relationship between the social work education program and the child welfare agency making sure to demonstrate the basis for a positive and productive collaboration around the development of the training package.
- Demonstrate the capacity of both the educational program and agency to develop and deliver the training, by emphasizing the qualifications of the professionals from each institution who will be working together on the project.

- Describe a plan for how faculty involved in the development of the training package will use the experience to infuse the knowledge and content into their own teaching and courses. Also, describe how faculty will work with other faculty members on an individual basis, as well as through academic program mechanisms such as curriculum committees, to promote broader-based infusion.

- Provide assurances that at least one key staff person from the university and one key staff person from the public child welfare agency would jointly attend a one-day annual meeting in the HHS Regional Office shortly after the

award as well as a four day annual meeting in Washington, DC.

- Include a plan for evaluation which incorporates pilot testing procedures as well as assessing the competency-based and practice oriented outcomes of the training package.

- Describe the final report and/or other training products, such as training curriculum, video tapes, software packages, etc. to be developed under the project.

- Identify relevant audiences for each proposed product and the steps that would be undertaken to disseminate and promote the utilization of project products and findings.

**Project Duration:** The length of the project must not exceed 24 months.

**Federal Share of Project Costs:** The maximum federal share is not to exceed \$60,000 per 12-month budget period.

**Matching or Cost Sharing Requirement:** Grantees must provide at least 25 percent of the total cost of grant activities. The total approved cost of these activities is the sum of the ACYF share and the non-Federal share. The non-Federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through a cash contribution. Therefore, a project requesting a total of \$120,000 in Federal funds for both budget periods must include a total match of \$40,000 (25 percent of the total project cost of \$160,000). Because this is a training grant, indirect costs for these projects shall not exceed 8 percent.

**Anticipated Number of Projects to be Funded:** It is anticipated that approximately seven to ten projects will be funded.

**CFDA Number:** 93.648 Child Welfare Services Training Program Grants: Section 426 of the Social Security Act, as amended.

### **Part III—Instructions for the Development and Submission of Applications**

This part contains information and instructions for submitting applications in response to this announcement. Application forms are provided along with a checklist for assembling an application package. Please copy and use these as single-sided forms in submitting an application.

Potential applicants should read this section carefully in conjunction with the information contained within the specific priority area under which the application is to be submitted. The priority area descriptions are in Part II.

### **A. Required Notification of the State Single Point of Contact (NCCAN Only)**

All applications for research or training projects submitted to NCCAN are covered under Executive Order (E.O.) 12372, Intergovernmental Review of Federal Programs, and title 45 Code of Federal Regulations (CFR) Part 100, Intergovernmental Review of Department of Health and Human Services Programs and Activities. Under the Order, States may design their own processes for reviewing and commenting on proposed Federal assistance under covered programs. Therefore, the applicant should contact his or her State Single Point of Contact (SPOC) directly to determine what materials, if any, the SPOC requires. Contact information for each State's SPOC is found at the end of this section. Children's Bureau applicants are exempt from this requirement.

All States and territories, except Alabama, Alaska, Colorado, Connecticut, Hawaii, Idaho, Kansas, Louisiana, Minnesota, Montana, Nebraska, Oklahoma, Oregon, Pennsylvania, South Dakota, Virginia, Washington, American Samoa and Palau, have elected to participate in the Executive Order process and have established a State Single Point of Contact (SPOC).

Applicants from these 19 jurisdictions need take no action regarding E.O. 12372. Applications for projects to be administered by Federally-recognized Indian Tribes are also exempt from the requirements of E.O. 12372.

It is imperative that the applicant submit all required materials to the SPOC and indicate the date of this submittal (or the date of contact, if no submittal is required) on the Standard Form (SF) 424, item 16a. Under 45 CFR 100.8(a)(2), SPOCs have 60 days from the grant application deadline to comment on applications for financial assistance under this program. These comments are reviewed as part of the award process. Failure to notify the SPOC can result in a delay in grant award.

The SPOCs are encouraged to eliminate the submission of routine endorsements as official recommendations. Additionally, SPOCs are requested to clearly differentiate between mere advisory comments and those official State process recommendations which may trigger the "accommodate or explain" rule. It is helpful in tracking SPOC comments if the SPOC will clearly indicate the applicant organization as it appears on the application SF 424. When comments are submitted directly to ACYF, they

should be addressed to the application mailing address located in the front section of this announcement.

#### *B. Deadline for Submission of Applications*

The closing date for submission of applications under this program announcement is July 10, 1995.

Applications must be either received by mail or hand-delivered no later than the deadline date. (Applicants are cautioned that postmarks *will not* be considered as a methodology for meeting this deadline.) Applications receipt point: FY 1995 NCCAN/CB Discretionary Funds Program, Department of Health and Human Services, ACF/Division of Discretionary Grants, 6th floor, 370 L'Enfant Promenade SW., Washington, DC 20447, Attn: NCCAN/CB-95-1.

Hand delivered applications are accepted during the normal working hours of 8 a.m. to 4:30 p.m., Monday through Friday, on or prior to the established closing date at: Administration for Children and Families, Division of Discretionary Grants, 6th Floor, ACF Guard Station, 901 D Street SW., Washington, DC 20047.

An application will be considered as meeting the deadline if it is received on or before the deadline date at the address or receipt point specified in this program announcement. Applicants are responsible for mailing applications well in advance, when using all mail services or commercial carriers (such as UPS, Federal Express, etc.), to ensure that the applications are received on or before the deadline date.

Applications which do not meet the above criteria are considered late applications and will not be considered or reviewed in the current competition. The ACYF will send a letter to this effect to each late applicant.

The ACYF reserves the right to extend the deadline for all applicants due to acts of God, such as floods, hurricanes or earthquakes; if there is widespread disruption of the mail; or if ACYF determines a deadline extension to be in the best interest of the Government. However, ACYF will not waive or extend the deadline for any applicant unless the deadline is waived or extended for all applicants.

#### *C. Instructions for Preparing the Application and Completing Application Forms*

The SF 424, 424A, 424B, and certifications have been reprinted for your convenience in preparing the application. You should reproduce single-sided copies of these forms from the reprinted forms in the

announcement, typing your information onto the copies. Please do not use forms directly from the **Federal Register** announcement, as they are printed on both sides of the page. Make single-sided copies and use them.

Please prepare your application in accordance with the following instructions:

1. SF 424 Page 1, Application Cover Sheet—Please read the following instructions before completing the application cover sheet. An explanation of each item is included. Complete only the items specified.

*Top of Page* Enter the single priority area number under which the application is being submitted. An application should be submitted under only one priority area.

*Item 1* "Type of Submission"—Preprinted on the form.

*Item 2* "Date Submitted" and "Applicant Identifier"—Date application is submitted to NCCAN and applicant's own internal control number, if applicable.

*Item 3* "Date Received By State"—State use only (if applicable).

*Item 4* "Date Received by Federal Agency"—leave blank.

*Item 5* "Applicant Information"—"Legal Name"—Enter the legal name of the applicant organization. For applications developed jointly, enter the name of the lead organization only. There must be a single applicant for each application. "Organizational Unit"—Enter the name of the primary unit within the applicant organization which will actually carry out the project activity. Do not use the name of an individual as the applicant. If this is the same as the applicant organization, leave the organizational unit blank.

"Address"—Enter the complete address that the organization actually uses to receive mail, since this is the address to which all correspondence will be sent. Do not include both street address and P.O. box number unless both must be used in mailing.

"Name and telephone number of the person to be contacted on matters involving this application (give area code)"—Enter the full name (including academic degree, if applicable) and telephone number of a person who can respond to questions about the application. This person should be accessible at the address given here and will receive all correspondence regarding the application.

*Item 6* "Employer Identification Number (EIN)"—Enter the employer identification number of the applicant organization, as assigned by the Internal Revenue Service, including, if known, the Central Registry System suffix.

*Item 7* "Type of Applicant"—Self-explanatory.

*Item 8* "Type of Application"—Preprinted on the form.

*Item 9* "Name of Federal Agency"—Preprinted on the form.

*Item 10* "Catalog of Federal Domestic Assistance Number and Title"—Enter the Catalog of Federal Domestic Assistance (CFDA) number which is assigned to the program under which assistance is requested and its title. For example, CFDA number 93.670 for the Child Abuse, Prevention and Treatment Act, as amended.

*Item 11* "Descriptive Title of Applicant's Project"—Enter the project title. The title is generally short and is descriptive of the project, not the priority area title.

*Item 12* "Areas Affected by Project"—Enter the governmental unit where significant and meaningful impact could be observed. List only the largest unit or units affected, such as State, county, or city. If an entire unit is affected, list it rather than subunits.

*Item 13* "Proposed Project"—Enter the desired start date for the project and projected completion date.

*Item 14* "Congressional District of Applicant/Project"—Enter the number of the Congressional district where the applicant's principal office is located and the number of the Congressional district(s) where the project will be located. If statewide, a multi-State effort, or nationwide, enter "00."

*Item 15* "Estimated Funding Levels"—In completing 15a through 15f, the dollar amounts entered should reflect, for a 17 month or less project period, the total amount requested. If the proposed project period exceeds 17 months, enter only those dollar amounts needed for the first 12 months of the proposed project.

*Item 15a* Enter the amount of Federal funds requested in accordance with the preceding paragraph. This amount should be no greater than the maximum amount specified in the priority area description.

*Items 15b-e* Enter the amount(s) of funds from non-Federal sources that will be contributed to the proposed project. Items b-e are considered cost-sharing or "matching funds." The value of third party in-kind contributions should be included on appropriate lines as applicable. For more information regarding funding as well as exceptions to these rules, see Part II, Sections E and F, and the specific priority area description.

*Item 15f* Enter the estimated amount of income, if any, expected to be generated from the proposed project. Do not add or subtract this amount from the

total project amount entered under item 15g. Describe the nature, source and anticipated use of this income in the Project Narrative Statement.

**Item 15g** Enter the sum of items 15a–15e.

**Item 16a** “Is Application Subject to Review By State Executive Order 12372 Process? Yes.”—Enter the date the applicant contacted the SPOC regarding this application. Select the appropriate SPOC from the listing provided at the end of Part III. The review of the application is at the discretion of the SPOC. The SPOC will verify the date noted on the application. If there is a discrepancy in dates, the SPOC may request that the Federal agency delay any proposed funding until September 10, 1995.

**Item 16b** “Is Application Subject to Review By State Executive Order 12372 Process? No.”—Check the appropriate box if the application is not covered by E.O. 12372 or if the program has not been selected by the State for review.

**Item 17** “Is the Applicant Delinquent on any Federal Debt?”—Check the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include audit disallowances, loans and taxes.

**Item 18** “To the best of my knowledge and belief, all data in this application/preapplication are true and correct. The document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.”—To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for signature of this application by this individual as the official representative must be on file in the applicant's office, and may be requested from the applicant.

**Item 18a–c** “Typed Name of Authorized Representative, Title, Telephone Number”—Enter the name, title and telephone number of the authorized representative of the applicant organization.

**Item 18d** “Signature of Authorized Representative”—Signature of the authorized representative named in Item 18a. At least one copy of the application must have an original signature. Use colored ink (not black) so that the original signature is easily identified.

**Item 18e** “Date Signed”—Enter the date the application was signed by the authorized representative.

## 2. SF 424A—Budget Information—Non-Construction Programs

This is a form used by many Federal agencies. For this application, Sections A, B, C, E and F are to be completed. Section D does not need to be completed.

Sections A and B should include the Federal as well as the non-Federal funding for the proposed project covering (1) the total project period of 17 months or less or (2) the first year budget period, if the proposed project period exceeds 17 months.

**Section A—Budget Summary** This section includes a summary of the budget. On line 5, enter total Federal costs in column (e) and total non-Federal costs, including third party in-kind contributions, but not program income, in column (f). Enter the total of (e) and (f) in column (g).

**Section B—Budget Categories** This budget, which includes the Federal as well as non-Federal funding for the proposed project, covers (1) the total project period of 17 months or less or (2) the first year budget period if the proposed project period exceeds 17 months. It should relate to item 15g, total funding, on the SF 424. Under column (5), enter the total requirements for funds (Federal and non-Federal) by object class category.

A separate itemized budget justification for each line item is required. The types of information to be included in the justification are indicated under each category. For multiple year projects, it is desirable to provide this information for each year of the project. The budget justification should immediately follow the second page of the SF 424A.

**Personnel—Line 6a** Enter the total costs of salaries and wages of applicant/grantee staff. Do not include the costs of consultants, which should be included on line 6h, “Other.”

**Justification** Identify the principal investigator or project director, if known. Specify by title or name the percentage of time allocated to the project, the individual annual salaries, and the cost to the project (both Federal and non-Federal) of the organization's staff who will be working on the project.

**Fringe Benefits—Line 6b** Enter the total costs of fringe benefits, unless treated as part of an approved indirect cost rate.

**Justification** Provide a break-down of amounts and percentages that comprise fringe benefit costs, such as health insurance, FICA, retirement insurance, etc.

**Travel—6c** Enter total costs of out-of-town travel (travel requiring per

diem) for staff of the project. Do not enter costs for consultant's travel or local transportation, which should be included on Line 6h, “Other.”

**Justification** Include the name(s) of traveler(s), total number of trips, destinations, length of stay, transportation costs and subsistence allowances.

**Equipment—Line 6d** Enter the total costs of all equipment to be acquired by the project. For State and local governments, including Federally recognized Indian Tribes, “equipment” is tangible, non-expendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. For all other applicants, the threshold for equipment is \$500 or more per unit. The higher threshold for State and local governments became effective October 1, 1988, through the implementation of 45 CFR Part 92, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.”

**Justification** Equipment to be purchased with Federal funds must be justified. The equipment must be required to conduct the project, and the applicant organization or its subgrantees must not have the equipment or a reasonable facsimile available to the project. The justification also must contain plans for future use or disposal of the equipment after the project ends.

**Supplies—Line 6e** Enter the total costs of all tangible expendable personal property (supplies) other than those included on Line 6d.

**Justification** Specify general categories of supplies and their costs.

**Contractual—Line 6f** Enter the total costs of all contracts, including (1) procurement contracts (except those which belong on other lines such as equipment, supplies, etc.) and (2) contracts with secondary recipient organizations, including delegate agencies. Also include any contracts with organizations for the provision of technical assistance. Do not include payments to individuals on this line. If the name of the contractor, scope of work, and estimated total costs are not available or have not been negotiated, include on Line 6h, “Other.”

**Justification** Attach a list of contractors, indicating the names of the organizations, the purposes of the contracts, and the estimated dollar amounts of the awards as part of the budget justification. Whenever the applicant/grantee intends to delegate part or all of the program to another agency, the applicant/grantee must complete this section (Section 8, Budget Categories) for each delegate agency by

agency title, along with the supporting information. The total cost of all such agencies will be part of the amount shown on Line 6f. Provide backup documentation identifying the name of contractor, purpose of contract, and major cost elements. Applicants who anticipate procurements that will exceed \$5,000 (non-governmental entities) or \$25,000 (governmental entities) and are requesting an award without competition should include sole source justification in the proposal which at a minimum should include the basis for contractor's selection, justification for lack of competition when competitive bids or offers are not obtained and basis for award cost or price. (Note: Previous or past experience with a contractor is not sufficient justification for sole source.)

**Construction—Line 6g** Not applicable. New construction is not allowable.

**Other—Line 6h** Enter the total of all other costs. Where applicable, such costs may include, but are not limited to: Insurance; medical and dental costs; noncontractual fees and travel paid directly to individual consultants; local transportation (all travel which does not require per diem is considered local travel); space and equipment rentals; printing and publication; computer use; training costs, including tuition and stipends; training service costs, including wage payments to individuals and supportive service payments; and staff development costs. Note that costs identified as "miscellaneous" and "honoraria" are not allowable.

**Justification** Specify the costs included.

**Total Direct Charges—Line 6i** Enter the total of Lines 6a through 6h.

**Indirect Charges—6j** Enter the total amount of indirect charges (costs). If no indirect costs are requested, enter "None." Generally, this line should be used when the applicant (except local governments) has a current indirect cost rate agreement approved by the Department of Health and Human Services or another Federal agency. Local and State governments should enter the amount of indirect costs determined in accordance with HHS requirements. When an indirect cost rate is requested, these costs are included in the indirect cost pool and should not be charged again as direct costs to the grant. In the case of training grants to other than State or local governments (as defined in title 45, Code of Federal Regulations, part 74), the Federal reimbursement of indirect costs will be limited to the lesser of the negotiated (or actual) indirect cost rate or 8 percent of the amount allowed for

direct costs, exclusive of any equipment charges, rental of space, tuition and fees, post-doctoral training allowances, contractual items, and alterations and renovations. For training grant applications, the entry under line 6j should be the total indirect costs being charged to the project. The Federal share of indirect costs is calculated as shown above. The applicant's share is calculated as follows: (a) Calculate total project indirect costs (a\*) by applying the applicant's approved indirect cost rate to the total project (Federal and non-Federal) direct costs. (b) Calculate the Federal share of indirect costs (b\*) at 8 percent of the amount allowed for total project (Federal and non-Federal) direct costs exclusive of any equipment charges, rental of space, tuition and fees, post-doctoral training allowances, contractual items, and alterations and renovations. (c) Subtract (b\*) from (a\*). The remainder is what the applicant can claim as part of its matching cost contribution.

**Justification** Enclose a copy of the indirect cost rate agreement. Applicants subject to the limitation on the Federal reimbursement of indirect costs for training grants should specify this.

**Total—Line 6k** Enter the total amounts of lines 6i and 6j.

**Program Income—Line 7** Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount.

**Justification** Describe the nature, source, and anticipated use of program income in the Program Narrative Statement.

**Section C—Non-Federal Resources** This section summarizes the amounts of non-Federal resources that will be applied to the grant. Enter this information on line 12 entitled "Totals." In-kind contributions are defined in 45 CFR 74.2 and 45 CFR 92.3. In-kind contributions are "the value of non-cash contributions provided by non-Federal third parties. Third party in-kind contributions may be in the form of real property, equipment, supplies and other expendable property, and the value of goods and services directly benefiting and specifically identifiable to the project or program."

**Justification** Describe third party in-kind contributions, if included.

**Section D—Forecasted Cash Needs** Not applicable.

**Section E—Budget Estimate of Federal Funds Needed For Balance of the Project** This section should only be completed if the total project period exceeds 17 months.

**Totals—Line 20** For projects that will have more than one budget period,

enter the estimated required *Federal* funds for the second budget period (months 13 through 24) under column "(b) First." If a third budget period will be necessary, enter the Federal funds needed for months 25 through 36 under "(c) Second." Columns (d) and (e) are not applicable in most instances, since ACYF funding is almost always limited to a three-year maximum project period. They should remain blank.

**Section F—Other Budget Information**  
**Direct Charges—Line 21** Not applicable.

**Indirect Charges—Line 22** Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

**Remarks—Line 23** If the total project period exceeds 17 months, you must enter your proposed non-Federal share of the project budget for each of the remaining years of the project.

### 3. Project Summary Description

Clearly mark this separate page with the applicant name as shown in item 5 of the SF 424, the priority area number as shown at the top of the SF 424, and the title of the project as shown in item 11 of the SF 424. The summary description should not exceed 300 words. These 300 words become part of the computer database on each project.

Care should be taken to produce a summary description which accurately and concisely reflects the proposal. It should describe the objectives of the project, the approaches to be used and the outcomes expected. The description should also include a list of major products that will result from the proposed project, such as software packages, materials, management procedures, data collection instruments, training packages, or videos. (Please note that audiovisuals should be closed captioned.) The project summary description, together with the information on the SF 424, will constitute the project abstract. It is the major source of information about the proposed project and is usually the first part of the application that the reviewers read in evaluating the application.

At the bottom of the page, following the summary description, type up to 10 key words which best describe the proposed project, the service(s) involved and the target population(s) to be covered. These key words will be used for computerized information retrieval. Key words should be selected from commonly used research and practice terminology. For assistance in choosing

key words, applicants are referred to the Clearinghouse on Child Abuse and Neglect Information, P.O. Box 1182, Washington, DC 20013, (1-800-FYI-3366).

#### 4. Program Narrative Statement

The Program Narrative Statement should be clear, concise, and address the specific requirements mentioned under the priority area description in Part II. The narrative should also provide information concerning how the application meets the evaluation criteria (see Part II, Section C) using the appropriate headings for research or demonstration and training applications. Inclusion and discussion of the evaluation criteria is important since the reviewers will rate the application against the evaluation criteria. There is a page limitation, set forth below.

##### Narrative Statement:

Research applications should use the following section headings:

- (a) *Objectives*;
- (b) *Background and Significance*;
- (c) *Approach*; and
- (d) *Staff Background and Organization's Experience*.

Demonstration and Training applications should use the following headings:

- (a) *Objectives and Need for Assistance*;
- (b) *Results or Benefits Expected*;
- (c) *Approach*; and
- (d) *Staff Background and Organization's Experience*.

The specific information to be included under each of these headings is described in Part II, Section C, Evaluation Criteria.

The narrative should be double-spaced and single-sided on 8½" x 11" plain white paper, with 1" margins on all sides. Use only a standard size font such as 10 or 12 pitch throughout the announcement. All pages of the narrative (including appendices, resumes, charts, references/footnotes, tables, maps and exhibits) must be sequentially numbered, beginning with "Objectives" or "Objectives and Need for Assistance" as page number one. Applicants should not submit reproductions of larger sized paper that is reduced to meet the size requirement. Applicants are requested not to send pamphlets, brochures, or other printed material along with their applications as these pose copying difficulties. These materials, if submitted, will not be included in the review process, though they will be kept on file.

The length of the narrative section, including appendices, should not exceed 60 pages. Anything over 60

pages will be removed and not considered by the reviewers.

Please note that applicants that do not comply with the specific priority area requirements in the section on "Eligible Applicants" will not be included in the review process. Applicants should also note that non-responsiveness to the section "Requirements for Project Design" will result in a low evaluation score by the panel of expert reviewers.

Applicants must clearly identify the specific priority area under which they wish to have their applications considered, and tailor their applications accordingly. Previous experience has shown that an application which is broader and more general in concept than outlined in the priority area description is less likely to score as well as one which is more clearly focused on and directly responsive to the concerns of that specific priority area.

#### 5. Assurances/Certifications

Applicants are required to file an SF 424B, Assurances—Non-Construction Programs and the Certification Regarding Lobbying. Both must be signed and returned with the application. In addition, applicants must provide certifications regarding: (1) Drug-Free Workplace Requirements; (2) Debarment and Other Responsibilities; and (3) Certification Regarding Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994. These three certifications are self-explanatory. A duly authorized representative of the applicant organization must certify that the applicant is in compliance with these assurances/ certifications. Signing and submitting this application (SF 424) indicates compliance with the Drug Free Workplace Requirements, the Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994, and Debarment and Other Responsibilities certifications.

All applicants for research projects on child abuse and neglect must provide a Protection of Human Subjects Assurance as specified in the policy described on the HHS Form 596. If there is a question regarding the applicability of this assurance, contact the Office for Protection from Research Risks of the National Institutes of Health at (301)-496-7041. Those applying for or currently conducting research projects are further advised of the availability of a Certificate of Confidentiality through the National Institute of Mental Health of the Department of Health and Human Services. To obtain more information and to apply for a Certificate of Confidentiality, under the authority of Section 301(d) of the Public Health

Service Act (42 U.S.C. 82421(d)) to protect against involuntary disclosure of the identities of research subjects, contact the Division of Extramural Activities of the National Institute of Mental Health at (301) 443-4673.

#### D. Checklist for a Complete Application

The checklist below is for your use to ensure that your application package has been properly prepared.

\_\_\_ One original, signed and dated application, plus two copies.

Applications for different priority areas should be packaged separately;

\_\_\_ Application is from an organization which is eligible under the eligibility requirements defined in the priority area description (screening requirement).

A complete application consists of the following items in this order:

\_\_\_ Application for Federal Assistance (SF 424, REV 4-88); a completed SPOC certification (if applicable) with the date of SPOC contact entered in line 16, page 1 of the SF 424 if applicable.

\_\_\_ Budget Information—Non-Construction Programs (SF 424A, REV 4-88);

\_\_\_ Budget justification for Section B—Budget Categories;

\_\_\_ Letter from the Internal Revenue Service to prove non-profit status, if necessary;

\_\_\_ Copy of the applicant's approved indirect cost rate agreement, if appropriate;

\_\_\_ Project summary description;

\_\_\_ Table of Contents, including the following:

\_\_\_ Program Narrative Statement (organized by the evaluation criteria), which when combined with appendices/attachments should not exceed 60 pages total;

\_\_\_ Any appendices/attachments (which when combined with the Program Narrative Statement should not exceed 60 pages total);

\_\_\_ Assurances—Non-Construction Programs (Standard Form 424B, REV 4-88);

\_\_\_ Certification Regarding Lobbying;

\_\_\_ Certification Regarding Pro-Children Act of 1994; and

\_\_\_ Certification of Protection of Human Subjects, if necessary.

#### E. The Application Package

Each application package must include an original and two copies of the complete application. Each copy should be stapled securely (front and back if necessary) in the upper left-hand corner. All pages of the narrative must be sequentially numbered, beginning

with page one. The narrative, including the appendices, must be only 60 pages. Any pages over that number will be removed and will not be reviewed. Because each application will be duplicated, do not use or include separate covers, binders, clips, tabs, plastic inserts, brochures, videos, or any other items that cannot be photocopied. Your application should only include the information as requested in this announcement.

Do not include a self-addressed, stamped acknowledgment card. All applicants will be notified automatically about the receipt of their application and of the four digit identification number assigned to their application. This number and the priority area must be referred to in all subsequent communication with NCCAN, the Children's Bureau and ACYF concerning the application. If acknowledgment of receipt of your application is not received within eight weeks after the deadline date, please notify the ACYF Operations Center by telephone at 1-800-351-2293.

Dated: April 28, 1995.

**Olivia A. Golden,**

*Commissioner, Administration on Children,  
Youth and Families.*

BILLING CODE 4184-01-P

**APPLICATION FOR  
FEDERAL ASSISTANCE**

OMB Approval No. 0348-0043

<b>1. TYPE OF SUBMISSION:</b> <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<i>Preapplication</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<b>2. DATE SUBMITTED</b>	Applicant Identifier
<b>3. DATE RECEIVED BY STATE</b>				State Application Identifier	
<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>				Federal Identifier	
<b>5. APPLICANT INFORMATION</b>					
Legal Name:			Organizational Unit:		
Address (give city, county, state, and zip code):			Name and telephone number of the person to be contacted on matters involving this application (give area code)		
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> <div style="border: 1px solid black; width: 150px; height: 20px; margin: 5px 0;"></div>			<b>7. TYPE OF APPLICANT: (enter appropriate letter in box)</b> <input type="checkbox"/>		
<b>8. TYPE OF APPLICATION:</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award    B. Decrease Award    C. Increase Duration D. Decrease Duration    Other (specify):			A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify):		
<b>9. NAME OF FEDERAL AGENCY:</b>			<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div>		
<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>			<b>12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):</b>		
<b>13. PROPOSED PROJECT:</b> Start Date    Ending Date		<b>14. CONGRESSIONAL DISTRICTS OF:</b> a. Applicant    b. Project			
<b>15. ESTIMATED FUNDING:</b>		<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>			
a. Federal	\$	.00	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____		
b. Applicant	\$	.00	b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372		
c. State	\$	.00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW		
d. Local	\$	.00	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b>		
e. Other	\$	.00	<input type="checkbox"/> Yes    If "Yes," attach an explanation. <input type="checkbox"/> No		
f. Program Income	\$	.00	<b>18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED</b>		
g. TOTAL	\$	.00	a. Typed Name of Authorized Representative    b. Title    c. Telephone number		
d. Signature of Authorized Representative			e. Date Signed		

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Standard Form 424 (REV 4-88)  
Prescribed by OMB Circular A-102



**Instructions for the SF 424**

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

**Item and Entry:**

1. Self-explanatory.
2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).
3. State use only (if applicable).
4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.
6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
7. Enter the appropriate letter in the space provided.

8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:

- “New” means a new assistance award.
- “Continuation” means an extension for an additional funding/budget period for a project with a projected completion date.
- “Revision” means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.

9. Name of Federal agency from which assistance is being requested with this application.

10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.

11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

12. List only the largest political entities affected (e.g., State, counties, cities).

13. Self-explanatory.

14. List the applicant's Congressional District and any District(s) affected by the program or project.

15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind

contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate *only* the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.

16. Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the applicant is subject to the State intergovernmental review process.

17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.

18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

BILLING CODE 4184-01-P

OMB Approval No. 0348-0044

**BUDGET INFORMATION — Non-Construction Programs**

SECTION A — BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. TOTALS		\$	\$	\$	\$	\$
SECTION B — BUDGET CATEGORIES						
6 Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY					
	(1)	(2)	(3)	(4)	Total (5)	
a. Personnel	\$	\$	\$	\$	\$	
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a - 6h)						
j. Indirect Charges						
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$	
7. Program Income	\$	\$	\$	\$	\$	

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Standard Form 424A (4-88)  
Prescribed by OMB Circular A-102

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.	\$	\$	\$	\$	
9.					
10.					
11.					
12. TOTALS (sum of lines 8 and 11)	\$	\$	\$	\$	
SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	\$	\$	\$	\$	\$
13. Federal					
14. NonFederal					
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16.	\$	\$	\$	\$	
17.					
18.					
19.					
20. TOTALS (sum of lines 16 -19)	\$	\$	\$	\$	
SECTION F - OTHER BUDGET INFORMATION (Attach additional Sheets if Necessary)					
21. Direct Charges:	22. Indirect Charges:				
23. Remarks					

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**Instructions for the SF-424A****General Instructions**

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

**Section A. Budget Summary**

Lines 1-4, Columns (a) and (b)

For applications pertaining to a single Federal grant program (Federal Domestic Assistance Catalog number) and not requiring a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a single program requiring budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to multiple programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g.)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds

needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5—Show the totals for all columns used.

**Section B. Budget Categories**

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i—Show the totals of Lines 6a to 6h in each column.

Line 6j—Show the amount of indirect cost.

Line 6k—Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7—Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

**Section C. Non-Federal Resources**

Lines 8-11—Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a)—Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b)—Enter the contribution to be made by the applicant.

Column (c)—Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d)—Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e)—Enter totals of Columns (b), (c), and (d).

Line 12—Enter the total for each of Columns (b)-(e). The amount in Column (e)

should be equal to the amount on Line 5, Column (f), Section A.

**Section D. Forecasted Cash Needs**

Line 13—Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14—Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15—Enter the totals of amounts on Lines 13 and 14.

**Section E. Budget Estimates of Federal Funds Needed for Balance of the Project**

Lines 16-19—Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20—Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

**Section F. Other Budget Information**

Line 21—Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22—Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23—Provide any other explanations or comments deemed necessary.

**Assurances—Non-Construction Programs**

**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in

accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728–4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88–352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681–1683, and 1685–1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101–6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92–255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91–616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd–3 and 290 ee–3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91–646) which provides for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501–1508 and 7324–7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. § 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327–333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93–234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91–190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under

the Safe Drinking Water Act of 1974, as amended, (P.L. 93–523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93–205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).

14. Will comply with (P.L. 93–348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89–544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint and Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

\_\_\_\_\_  
Signature of Authorized Certifying Official

\_\_\_\_\_  
Title

\_\_\_\_\_  
Applicant Organization

\_\_\_\_\_  
Date Submitted

BILLING CODE 4184-01-P

**U.S. Department of Health and Human Services**  
**Certification Regarding Drug-Free Workplace Requirements**  
**Grantees Other Than Individuals**

**By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.**

This certification is required by regulations implementing the Drug-Free Workplace Act of 1988, 45 CFR Part 76, Subpart F. The regulations, published in the May 25, 1990 Federal Register, require certification by grantees that they will maintain a drug-free workplace. The certification set out below is a material representation of fact upon which reliance will be placed when the Department of Health and Human Services (HHS) determines to award the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, HHS, in addition to any other remedies available to the Federal Government, may taken action authorized under the Drug-Free Workplace Act. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or governmentwide suspension or debarment.

Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplace(s) at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios.)

If the workplace identified to HHS changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see above).

Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

"Controlled substance" means a controlled substance in Schedules I through V of the Controlled Substances Act (21 USC 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15).

"Conviction" means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

"Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

"Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All "direct charge" employees; (ii) all "indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

**The grantee certifies that it will or will continue to provide a drug-free workplace by:**

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace; (2) The grantee's policy of maintaining a drug-free workplace; (3) Any available drug counseling, rehabilitation, and employee assistance programs; and, (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and, (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or, (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant (use attachments, if needed):

Place of Performance (Street address, City, County, State, ZIP Code) \_\_\_\_\_

Check ☐ if there are workplaces on file that are not identified here.

Sections 76.630(c) and (d)(2) and 76.635(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central receipt point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, S.W., Washington, D.C. 20201.

DGMO Form#2 Revised May 1990



**Certification Regarding Debarment, Suspension, and Other Responsibility Matters—Primary Covered Transactions**

By signing and submitting this proposal, the applicant, defined as the primary participant in accordance with 45 CFR Part 76, certifies to the best of its knowledge and belief that it and its principals:

(a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal Department or agency;

(b) have not within a 3-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) are not presently indicted or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) have not within a 3-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

The inability of a person to provide the certification required above will not necessarily result in denial of participation in this covered transaction. If necessary, the prospective participant shall submit an explanation of why it cannot provide the certification. The certification or explanation will be considered in connection with the Department of Health and Human Services (HHS) determination whether to enter into this transaction. However, failure of the prospective primary participant to

furnish a certification or an explanation shall disqualify such person from participation in this transaction.

The prospective primary participant agrees that by submitting this proposal, it will include the clause entitled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion—Lower Tier Covered Transaction." provided below without modification in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

**Certification Regarding Lobbying***Certification for Contracts, Grants, Loans, and Cooperative Agreements*

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all

subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

*State for Loan Guarantee and Loan Insurance*

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL "Disclosure Form to Report Lobbying," in accordance with its instructions.

Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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Signature

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Title

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Organization

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Date

BILLING CODE 4184-01-P

**DISCLOSURE OF LOBBYING ACTIVITIES**Approved by OMB  
0348-0046Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure.)

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known:  Congressional District, if known: _____	<b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b>  Congressional District, if known: _____	
<b>6. Federal Department/Agency:</b>  _____	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>  _____	<b>9. Award Amount, if known:</b> \$ _____	
<b>10. a. Name and Address of Lobbying Entity (if individual, last name, first name, MI):</b>  _____ <b>b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):</b> _____ (attach Continuation Sheet(s) SF-LLL-A, if necessary)		
<b>11. Amount of Payment (check all that apply):</b> \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned	<b>13. Type of Payment (check all that apply):</b> <input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other; specify: _____	
<b>12. Form of Payment (check all that apply):</b> <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ value _____		
<b>14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11:</b>  _____ (attach Continuation Sheet(s) SF-LLL-A, if necessary)		
<b>15. Continuation Sheet(s) SF-LLL-A attached:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No		
<b>16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>	<b>Signature:</b> _____ <b>Print Name:</b> _____ <b>Title:</b> _____ <b>Telephone No.:</b> _____ <b>Date:</b> _____	
<b>Federal Use Only</b>		Authorized for Local Reproduction Standard Form - LLL

**Executive Order 12372—State Single Points of Contact***Arizona*

Mrs. Janice Dunn, Attn: Arizona State Clearinghouse, 3800 N. Central Avenue, 14th Floor, Phoenix, Arizona 85012, Telephone (602) 280-1315

*Arkansas*

Tracie L. Copeland, Manager, State Clearinghouse, Office of Intergovernmental Services, Department of Finance and Administration, P.O. Box 3278, Little Rock, Arkansas 72203, Telephone (501) 682-1074

*California*

Glenn Stober, Grants Coordinator, Office of Planning and Research, 1400 Tenth Street, Sacramento, California 95814, Telephone (916) 323-7480

*Delaware*

Ms. Francine Booth, State Single Point of Contact, Executive Department, Thomas Collins Building, Dover, Delaware 19903, Telephone (302) 736-3326

*District of Columbia*

Rodney T. Hallman, State Single Point of Contact, Office of Grants Management and Development, 717 14th Street NW., Suite 500, Washington, DC. 20005, Telephone (202) 727-6551

*Florida*

Florida State Clearinghouse, Intergovernmental Affairs Policy Unit, Executive Office of the Governor, Office of Planning and Budgeting, The Capitol, Tallahassee, Florida 32399-0001, Telephone (904) 488-8441

*Georgia*

Mr. Charles H. Badger, Administrator, Georgia State Clearinghouse, 254 Washington, SW., Atlanta, Georgia 30334, Telephone (404) 656-3855

*Illinois*

Steve Klokenga, State Single Point of Contact, Office of the Governor, 107 Stratton Building, Springfield, Illinois 62706, Telephone (217) 782-1671

*Indiana*

Jean S. Blackwell, Budget Director, State Budget Agency, 212 State House, Indianapolis, Indiana 46204, Telephone (317) 232-5610

*Iowa*

Mr. Steven R. McCann, Division of Community Progress, Iowa Department of Economic Development, 200 East Grand Avenue, Des Moines, Iowa 50309, Telephone (515) 281-3725

*Kentucky*

Ronald W. Cook, Office of the Governor, Department of Local Government, 1024 Capitol Center Drive, Frankfort, Kentucky 40601, Telephone (502) 564-2382

*Maine*

Ms. Joyce Benson, State Planning Office, State House Station #38, Augusta, Maine 04333, Telephone (207) 289-3261

*Maryland*

Ms. Mary Abrams, Chief, Maryland State Clearinghouse, Department of State Planning, 301 West Preston Street, Baltimore, Maryland 21201-2365, Telephone (301) 225-4490

*Massachusetts*

Karen Arone, State Clearinghouse, Executive Office of Communities and Development, 100 Cambridge Street, Room 1803, Boston, Massachusetts 02202, Telephone (617) 727-7001

*Michigan*

Richard S. Pastula, Director, Michigan Department of Commerce, Lansing, Michigan 48909, Telephone (517) 373-7356

*Mississippi*

Ms. Cathy Mallette, Clearinghouse Officer, Office of Federal Grant Management and Reporting, 301 West Pearl Street, Jackson, Mississippi 39203, Telephone (601) 960-2174

*Missouri*

Ms. Lois Pohl, Federal Assistance Clearinghouse, Office of Administration, PO Box 809, Room 430, Truman Building, Jefferson City, Missouri 65102, Telephone (314) 751-4834

*Nevada*

Department of Administration, State Clearinghouse, Capitol Complex, Carson City, Nevada 89710, Telephone (702) 687-4065, Attention: Ron Sparks, Clearinghouse Coordinator

*New Hampshire*

Mr. Jeffrey H. Taylor, Director, New Hampshire Office of State Planning, Attn: Intergovernmental Review, Process/James E. Bieber, 2½ Beacon Street, Concord, New Hampshire 03301, Telephone (603) 271-2155

*New Jersey*

Gregory W. Adkins, Acting Director, Division of Community Resources, N.J. Department of Community Affairs, Trenton, New Jersey 08625-0803, Telephone (609) 292-6613

Please direct correspondence and questions to: Andrew J. Jaskolka, State Review Process, Division of Community Resources, CN 814, Room 609, Trenton, New Jersey 08625-0803, Telephone (609) 292-9025

*New Mexico*

George Elliott, Deputy Director, State Budget Division, Room 190, Bataan Memorial Building, Santa Fe, New Mexico 87503, Telephone (505) 827-3640, FAX (505) 827-3006

*New York*

New York State Clearinghouse, Division of the Budget, State Capitol, Albany, New York 12224, Telephone (518) 474-1605

*North Carolina*

Mrs. Chrys Baggett, Director, Office of the Secretary of Admin., N.C. State Clearinghouse, 116 W. Jones Street, Raleigh, North Carolina 27603-8003, Telephone (919) 733-7232

*North Dakota*

N.D. Single Point of Contact, Office of Intergovernmental Assistance, Office of Management and Budget, 600 East Boulevard Avenue, Bismarck, North Dakota 58505-0170, Telephone (701) 224-2094

*Ohio*

Larry Weaver, State Single Point of Contact, State/Federal Funds Coordinator, State Clearinghouse, Office of Budget and Management, 30 East Broad Street, 34th Floor, Columbus, Ohio 43266-0411, Telephone (614) 466-0698

*Rhode Island*

Mr. Daniel W. Varin, Associate Director, Statewide Planning Program, Department of Administration, Division of Planning, 265 Melrose Street, Providence, Rhode Island 02907, Telephone (401) 277-2656, Please direct correspondence and questions to: Review Coordinator, Office of Strategic Planning

*South Carolina*

Omeagia Burgess, State Single Point of Contact, Grant Services, Office of the Governor, 1205 Pendleton Street, Room 477, Columbia, South Carolina 29201, Telephone (803) 734-0494

*Tennessee*

Mr. Charles Brown, State Single Point of Contact, State Planning Office, 500 Charlotte Avenue, 309 John Sevier Building, Nashville, Tennessee 37219, Telephone (615) 741-1676

*Texas*

Mr. Thomas Adams, Governor's Office of Budget and Planning, P.O. Box 12428, Austin, Texas 78711, Telephone (512) 463-1778

*Utah*

Utah State Clearinghouse, Office of Planning and Budget, Attn: Carolyn Wright, Room 116 State Capitol, Salt Lake City, Utah 84114, Telephone (801) 538-1535

*Vermont*

Mr. Bernard D. Johnson, Assistant Director, Office of Policy Research & Coordination, Pavilion Office Building, 109 State Street, Montpelier, Vermont 05602, Telephone (802) 828-3326

*West Virginia*

Mr. Fred Cutlip, Director, Community Development Division, West Virginia Development Office, Building #6, Room 553, Charleston, West Virginia 25305, Telephone (304) 348-4010

*Wisconsin*

Mr. William C. Carey, Federal/State Relations, Wisconsin Department of Administration, 101 South Webster Street,

P.O. Box 7864, Madison, Wisconsin 53707,  
Telephone (608) 266-0267

#### *Wyoming*

Sheryl Jeffries, State Single Point of Contact,  
Herschler Building, 4th Floor, East Wing,  
Cheyenne, Wyoming 82002, Telephone  
(307) 777-7574

#### *Guam*

Mr. Michael J. Reidy, Director, Bureau of  
Budget and Management Research, Office  
of the Governor, P.O. Box 2950, Agana,  
Guam 96910, Telephone (671) 472-2285

#### *Northern Mariana Islands*

State Single Point of Contact, Planning and  
Budget Office, Office of the Governor,  
Saipan, CM, Northern Mariana Islands  
96950

#### *Puerto Rico*

Norma Burgos/Jose H. Caro, Chairman/  
Director, Puerto Rico Planning Board,  
Minillas Government Center, P.O. Box  
41119, San Juan, Puerto Rico 00940-9985,  
Telephone (809) 727-4444

#### *Virgin Islands*

Jose L. George, Director, Office of  
Management and Budget, #41 Norregade  
Emancipation Garden Station, Second  
Floor, Saint Thomas, Virgin Islands 00802.  
Please direct correspondence to: Linda  
Clarke, Telephone (809) 774-0750.

#### **Certification Regarding Environmental Tobacco Smoke**

Public Law 103-227, Part C—  
Environmental Tobacco Smoke, also  
known as the Pro-Children Act of 1944  
(Act), requires that smoking not be  
permitted in any portion of any indoor  
facility owned or leased or contracted  
for by an entity and used routinely or  
regularly for the provision of health, day  
care, education, or library services to  
children under the age of 18, if the  
services are funded by Federal programs  
either directly or through State or local  
governments, by Federal grant, contract,  
loan, or loan guarantee. The law does

not apply to children's services  
provided in private residences, facilities  
funded solely by Medicare or Medicaid  
funds, and portions of facilities used for  
inpatient drug or alcohol treatment.  
Failure to comply with the provisions of  
the law may result in the imposition of  
a civil monetary penalty of up to \$1000  
per day and/or the imposition of an  
administrative compliance order on the  
responsible entity.

By signing and submitting this  
application the applicant/grantee  
certifies that it will comply with the  
requirements of the Act. The applicant/  
grantee further agrees that it will require  
the language of this certification be  
included in any subawards which  
contain provisions for children's  
services and that all subgrantees shall  
certify accordingly.

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